RESEARCH TRIANGLE INSTITUTE

MILITARY CIVIC ACTION

FINAL REPORT

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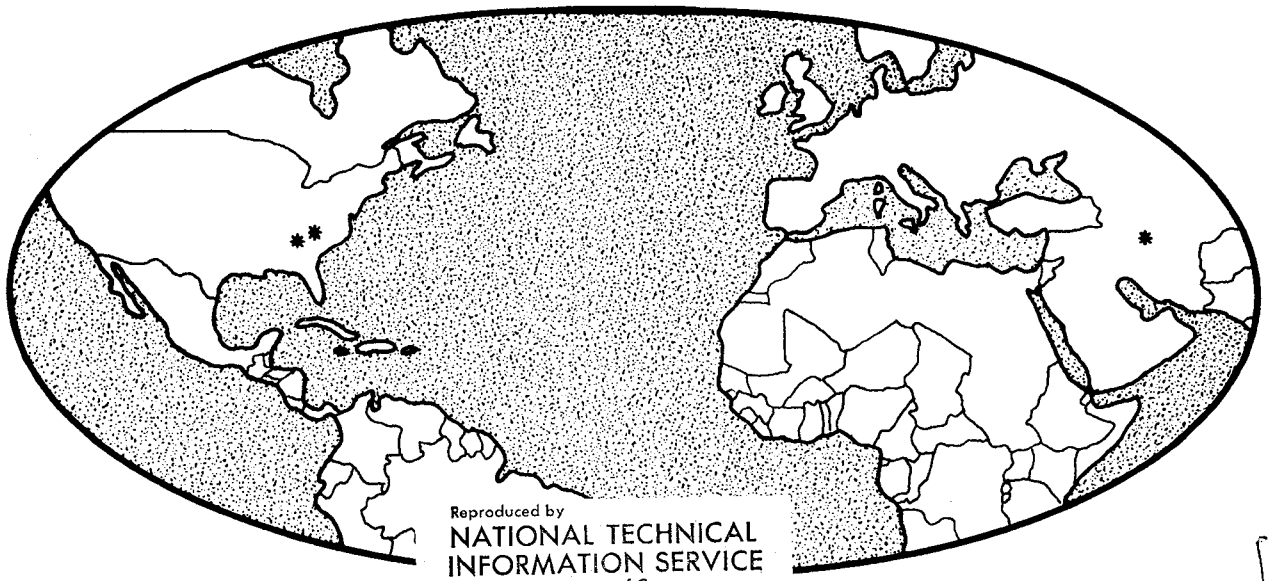
Volume I

Evaluation of Civilian Techniques in International Development Assistance



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Final Report

FR-51U-533

MILITARY CIVIC ACTION

Volume I

Evaluation of Civilian Techniques in International Development Assistance

by

Benjamin S. H. Harris III

and

Anne M. Fuller

September 1972

Sponsored by:

Advanced Research Projects Agency

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Research Triangle Institute

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Excessive economic, social and cultural inequality among peoples arouse tensions and conflicts and are a danger to peace. To wage war on misery and to struggle against injustice is to promote, along with improved conditions, the human and spiritual progress of all men and therefore, the common good of humanity.

. . . Pope Paul VI, March 1967

ABSTRACT

This Final Report presents a description and summary of work performed and accomplishments of Research Triangle Institute (RTI) Project No. 51U-533 during the period April 1970 - September 1972 pursuant to Advanced Research Projects Agency Order No. 1444 and U.S. Army Missile Command Contract No. DAAH01-70-C-0949.

The purposes of this research effort were (1) to study and evaluate methods and techniques employed by U.S. civilian agencies in international development assistance; (2) to compare civilian methods and techniques with similar aspects of military civic action; and (3) to formulate recommendations for direction of military civic action based upon this analysis and comparison.

This research effort has been divided into three Phases. Phase I, which covered the period April-December 1970, involved a literature search into methods and techniques employed in international development assistance by 32 selected nongovernment organizations (NGO's), and a perfunctory analysis of methods and techniques employed in international development assistance by the Agency for International Development (A.I.D.) and the Peace Corps in the U.S. Department of State, the Trust Territory of the Pacific Islands (TTPI), and the United Nations Development Programme (UNDP), with input on military civic action from RTI Project No. OU-532 which evaluated military techniques; Phase I was summarized in an interim unpublished *Phase I Special Technical Report*. RTI's Phase I findings and recommendations for further research were reviewed during Phase II which was completed during January 1971. Phase III has covered the period February 1971 - September 1972 and has involved further research into the methods and techniques employed in international development assistance by selected U.S. civilian agencies, a comparison of civilian and military techniques, and the formulation of recommendations for military civic action.

Volume I of this Final Report addressed itself to an analysis, comparison and evaluation of methods and techniques employed in international development assistance by 34 selected NGO's; A.I.D., the Peace Corps, and

the Bureau of International Organization Affairs in the U.S. Department of State; the Office of Saline Water and TTPI in the U.S. Department of the Interior; the Inter-American Social Development Institute (now the Inter-American Foundation); and the UNDP. Facets of international development assistance investigated included philosophy and objectives, organizational structure, and policies toward personnel, planning, operations and evaluation.

Volume II of this Final Report presents in summary a comparative analysis of the methods and techniques used by civilian agencies in terms of use by U.S. military forces, and recommendations regarding military civic action. Volume II also contains a glossary of abbreviations, and the bibliography.

ACKNOWLEDGMENTS

Acknowledgment is hereby made of the many people in the field of international development assistance who generously contributed of their time and knowledge to this project.

Appreciation is extended to James D. Bates, Clarence N. Dillard, William P. Hill, Martin F. Massoglia, Kenneth L. Mayall, Philip S. McMullan, Jr., Deryl F. Merritt, Sandra M. Powell, and Kay M. Rollins of the Research Triangle Institute staff for their assistance during the progress of this research effort and the preparation of this report. Martin Massoglia, Kenneth Mayall and Philip McMullan have provided the direction of this research effort at various stages. Kenneth Mayall assisted in the collection and preparation of material related to the Agency for International Development. Martin Massoglia has been responsible for the collection and analysis of data regarding military civic action, while Philip McMullan is responsible for the preparation of Volume II of this report comparing military and civilian techniques in development assistance and making recommendations to military civic action programs based upon the comparison. Clarence Dillard provided invaluable assistance during the Phase I literature search, particularly as regards the Peace Corps. James Bates assisted in the development of the Phase III questionnaire, while William Hill translated materials from the Spanish and provided invaluable assistance to many aspects of this research effort. Deryl Merritt was responsible for the preparation of most of the graphic presentations in this report--tables, figures and maps, while Sandra Powell was responsible for the typing of most correspondence and reports, including this Final Report. Kay Rollins provided assistance in the editing process, particularly the preparation of the bibliography and the glossary of abbreviations (see Appendices B and C in Volume II).

Special appreciation for advice and assistance is extended to Major Stephen Walker, who was one of the contracting officer's technical representatives, and to the representatives of the 34 nongovernment organizations and the various offices in the Departments of State and the Interior who provided data to this research effort. In particular, acknowledgement is made of the following individuals and the organizations which they represent:

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Herbert D. Turner, Agency for International Development

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ABOUT THE COVER

The Research Triangle Institute is a private, not-for-profit research corporation established in 1959. Since that time, RTI has been involved in a number of research and development endeavors of an international nature for the benefit of several countries, including Canada, Costa Rica, Honduras, India, Iran, Israel, Japan, Korea, Nepal, Nigeria, Pakistan, the Philippines and Turkey. Currently, RTI maintains offices in Tehran, Iran, and Charlotte, North Carolina, in addition to the main offices located on a 200-acre campus in the Research Triangle Park between Chapel Hill, Durham, and Raleigh, North Carolina. The locations of these offices are designated approximately on the cover by an asterisk (*).

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I. INTRODUCTION

A. Objectives of this Research

The purpose of this research effort, supported by Contract No. DAAH01-70-C-0949, was threefold:

1) To examine and evaluate methods and techniques employed by certain U.S. Government agencies and nongovernment organizations (NGO's) in various aspects of their international development assistance operations;

2) To compare the civilian methods and techniques with those currently employed by the Department of Defense (DOD) in military civic action (MCA); and

3) To make recommendations to DOD relevant to military civic action based upon this comparison.

The final report on this research is divided into two volumes. Volume I presents herein a summary of the examination and evaluation of civilian techniques, including an outline of the Research Plan and basic elements of the methodology employed. Volume II presents a summary of the comparison of civilian and military techniques and recommendations regarding military civic action.

B. Research Plan

As shown in Figure 1, this research effort has been organized into thirteen tasks divided into three major phases.

1. Phase I

The Phase I research effort, which covered the period April-December 1970, accomplished five tasks:

a. Task 1: Data Collection

Soon after project initiation in April 1970, data collection began to obtain information regarding methods and techniques employed in military civic action and in the international development assistance operations of U.S. Government agencies and

selected NGO's. A summary of findings relevant to military civic action will be found in Volume II of this report.

The collection of data relevant to the methods and techniques employed by U.S. Government agencies and selected NGO's in their international development assistance operations took the form of calls and visits to appropriate offices of U.S. Government agencies and a literature search for information relevant to the international development assistance operations of U.S. Government agencies and 32 selected NGO's.

Offices of Government agencies called and/or visited during the Phase I effort included:

1) Department of State
   a) Agency for International Development (A.I.D.)
      - Bureau for Program and Policy Coordination
      - Office for Private Overseas Programs, Voluntary Agencies Division
      - Office of International Training
      - Bureau for Latin America
   b) The Peace Corps
   c) Foreign Service Institute (FSI)
   d) Bureau of International Organization Affairs (BIOA)
2) Department of the Interior (DOI)
   - Office of Territories

The literature search for information relevant to civilian techniques in international development assistance was conducted in such libraries and document repositories as:

a) Library of Congress
b) Department of State Library
c) Foreign Service Institute Library
d) A.I.D. Reference Center
e) CORDS/Vietnam Research Center

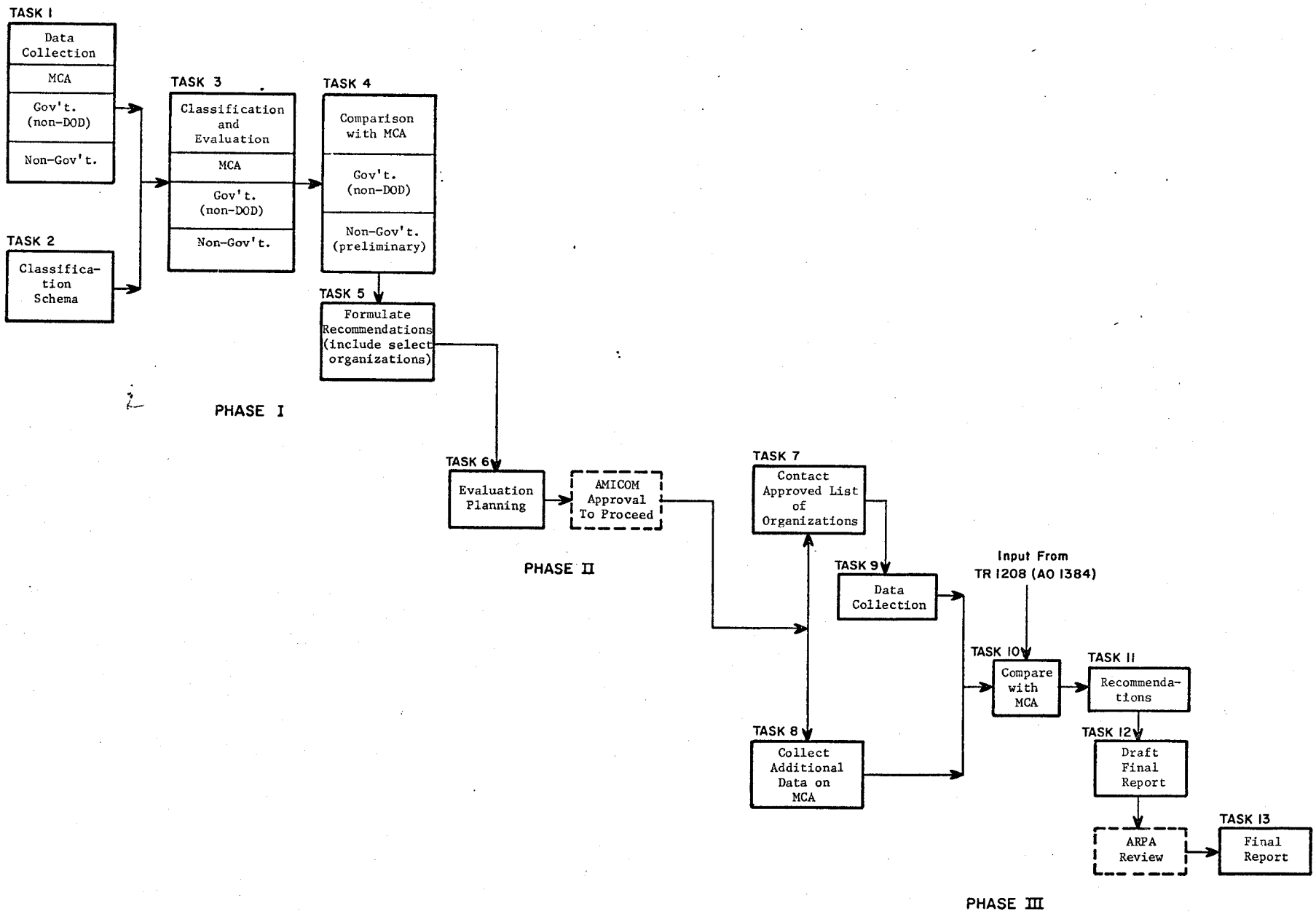


Fig. 1. Research plan, military civic action: evaluation of civilian techniques.

f) Libraries of:

(1) University of North Carolina

(2) Duke University

(3) North Carolina State University

(4) Research Triangle Institute (RTI)

b. Task 2: Classification Scheme

After some preliminary investigation, in keeping with the technical requirements of the contract and in order to facilitate the data collection and in particular the literature search, RTI developed a *Literature Search Recording Form*, a facsimile of which is shown as Figure 2. The form provided basic information on the document, its source and general content and categorized information regarding civilian development techniques according to whether information was provided on:

1) Objectives: General and specific objectives of the agency/organization in its overall operations and in specific programs and projects.

2) Doctrine: The philosophy upon which the agency's objectives and operations are based.

3) Organization of Staff: Channels of authority and specific responsibilities, particularly with regard to overseas staff;

4) Project Organization: Channels of authority and responsibility.

5) Personnel Selection: Methods of recruitment and procedures and criteria for selection.

6) Training Methods: Methods and facilities used in training personnel, particularly for overseas assignment.

7) Planning Techniques: Sources of ideas for international development assistance projects and project selection criteria.

8) Operating Techniques: Guidelines for project implementation, organization, continuation and development.

MILITARY CIVIC ACTION (EVALUATION OF CIVILIAN TECHNIQUES)

LITERATURE SEARCH RECORDING FORM

1. RESEARCHER: 2. DATE:
3. DOCUMENT REPOSITORY:
4. TYPE OF DOCUMENT: ( ) Book ( ) Article ( ) Research Paper
( ) Project Evaluation ( ) Other_____
5. SCOPE OF ACTIVITY: ( ) General ( ) Program ( ) Project
6. TITLE:
7. AUTHOR:
8. AUTHOR'S AFFILIATION:
9. PUBLISHER:
10. DATE AND PLACE OF PUBLICATION:
11. AGENCY:
12. COUNTRY OR REGION:
13. REPORTER:
14. TIME PERIOD DESCRIBED:
15. TITLE OF PROGRAM OR PROJECT:
16. SECTOR OF ACTIVITY: ( ) Education / Training
( ) Public Works / Housing
( ) Irrigation / Agriculture / Livestock
( ) Transportation / Communications
( ) Health / Sanitation / Medical
( ) Other_____

Please use a blank sheet to record data under the following categories, identifying the category by number only. If the document lacks data pertinent to a given category, omit any reference to it.

17. OBJECTIVES:
    a. General
    b. Specific
18. DOCTRINE
19. ORGANIZATION OF STAFF
20. PROJECT ORGANIZATION
21. PERSONNEL SELECTION
22. TRAINING METHODS
23. PLANNING TECHNIQUES
24. OPERATING TECHNIQUES
25. EVALUATION:
    a. Method of Appraisal
    b. Project Effectiveness Criteria
26. CULTURAL SETTING

Fig. 2. Literature Search Recording Form.

9) Evaluation: Methods of appraisal and project effectiveness criteria.

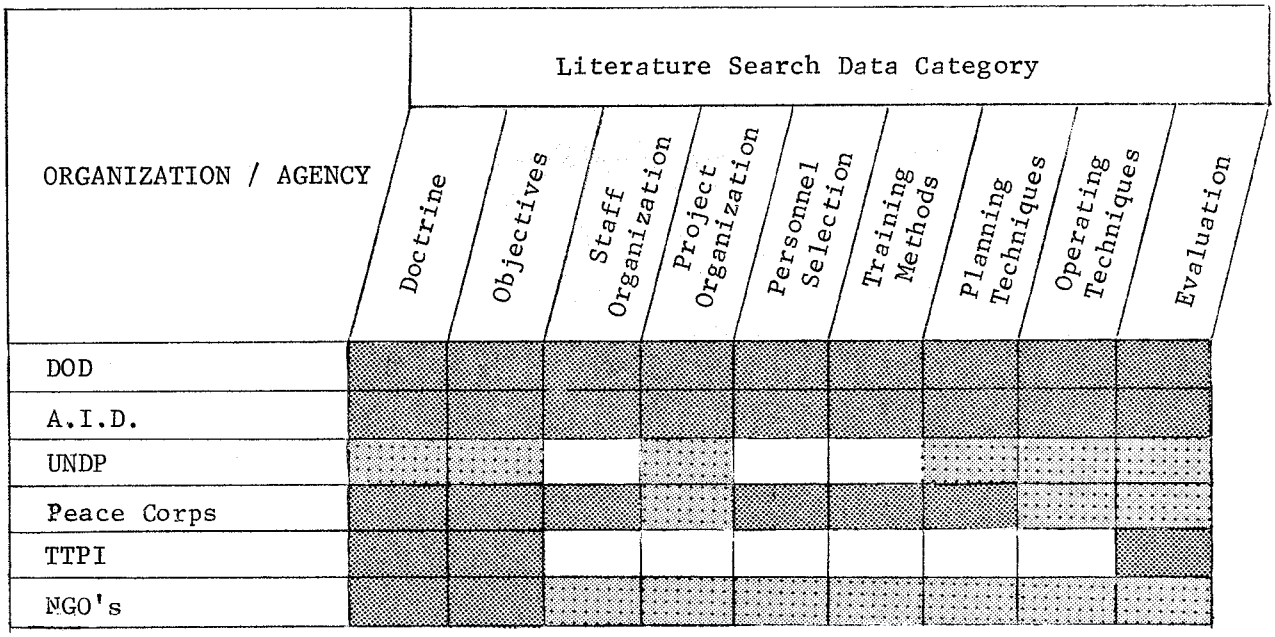
10) Cultural Setting: The effects of cultural shock, cultural differences, tradition and language woven through the other categories.

c. Task 3: Classification and Evaluation

During the course of the Phase I data collection effort, some 700 pieces of literature were examined for information regarding civilian techniques in international development assistance. Of these 700 documents, approximately 270 were retained as containing some information regarding such development assistance activities. In some instances, the literature focused on only one aspect of development assistance by one agency or organization; in other instances the literature was more comprehensive. In general, however, the Phase I data collection effort did not yield sufficient *hard* or current data for statistical or tabular compilation or for effective comparison with or for military civic action. On the other hand, the Phase I effort did provide RTI investigators with necessary background knowledge and insight into avenues for further research during Phase III.

Figure 3 provides a summary of the literature search and data collection effort during Phase I. Figure 3 shows whether or not information was available on the various aspects of international development assistance operations of the agencies under consideration, and whether the information available was definitive in itself or indicative that definitive information would probably be forthcoming with further research. This latter situation was particularly true of the NGO's, where RTI was restrained from direct contact during Phase I by the contracting agency. Such constraint, however, resulted in Phase III being highly productive as RTI investigators acquired essential background knowledge during the Phase I literature search.

FINDINGS



L E G E N D

Positive information

Probable information

Non-informative

Fig. 3. Phase I--Literature/Data Search and Evaluation.

Certain specific relevant references and summaries of Phase I findings will be found in appropriate following sections. For further information regarding methods and techniques employed in military civic action, the reader is referred to Volume II of this report and RTI Final Report (FR)-OU-532: Military Civic Action: Evaluation of Military Techniques [Ref. 1], also sponsored by the Advanced Research Projects Agency (ARPA) under ARPA order No. 1384 and Contract No. DAAH01-70-C-0950 with the U.S. Army Missile Command (USAMICOM).

d. Task 4: Comparison with Military Civic Action (MCA)

The reader is referred to Volume II of this report. Figure 3 does compare the availability and definitive value of information on various aspects of military civic action (DOD) with the information available from Phase I on the various aspects of international development assistance activities of civilian agencies.

e. Task 5: Formulation of Recommendations Regarding Phase III and Preparation of Phase I Special Technical Report

At the end of the Phase I research effort, the RTI research team made the following recommendations for further research during Phase III to the contracting agency:

1) Continued inquiry into A.I.D. and other relevant U.S. Government civilian agencies to refine Phase I information. At the time of the preparation of the interim unpublished *Phase I Special Technical Report* [Ref. 2] in December 1970, an extensive reorganization of A.I.D. was considered imminent. Such a reorganization has not been implemented, although certain new quasi-governmental agencies involved in international development assistance have been created. Such an agency is the Inter-American Social Development Institute (ISDI), which was included in the Phase III research effort.

2) Inquiry into programs and projects of the United Nations Development Programme (UNDP).

3) In-depth inquiry into selected U.S. NGO's.

2. Phase II, Task 6: Evaluation and Planning

Phase II of this research effort, which took place during the month of January 1971, involved evaluation by RTI investigators and the contracting agency of RTI's Phase I findings and recommendations and planning for the Phase III research effort.

At a meeting at RTI on February 3, 1971, between the RTI research and management teams and representatives of the contracting agency, the interim *Phase I Special Technical Report* and recommendations for Phase III were approved and the decision was made to proceed with the Phase III research effort.

3. Phase III

The Phase III of this research effort has covered the period February 1971 - September 1972 and has been divided into seven tasks, 7-13:

a. Task 7: Contact Approved Organizations

After the meeting at RTI on 3 February 1971, RTI and the contracting agency agreed on a list of 40 NGO's to be contacted during Phase III regarding information on methods and techniques employed in various aspects of their international development assistance operations.

Fourteen NGO's were contacted in February 1971 as a *pilot effort* to determine the response of the NGO's to this research effort and the availability from them of information regarding methods and techniques employed in international development assistance.

The response to the preliminary effort in February and March was so encouraging that attempts were made to establish communication with the other 26 NGO's during the period April - July 1971,

as shown in Figure 4, which shows graphically the time frame of the Phase III effort and the tasks accomplished. The first communication with the NGO's was a letter from RTI approved by the contracting agency similar to facsimiles shown in Figure 5 and Appendix B. The letters described the objectives of the research effort and the nature of the desired information and requested the cooperation and participation of the organization. In most instances, the letters were specific for each organization, reflecting RTI knowledge of, and/or past experience with, the organization.

If, after fourteen days from the time the initial letter was mailed, no reply had been received from the organization by mail or telephone, a telephone call was placed to the appropriate official of the organization to establish communication and request cooperation. Further information regarding the establishment of communication with the NGO's is described in Chapter II.

In addition to the NGO's, communication was renewed and/or established with appropriate offices of the U.S. Departments of State and the Interior and the UNDP, as described in Chapters III and IV.

b. Task 8: Collect Additional Data on Military Civic Action

This task was accomplished concurrently with Tasks 7 and 9 and is described in Volume II.

c. Task 9: Data Collection, Reduction and Analysis

1) Data Collection

Once communication was established with an NGO and the organization's cooperation and participation affirmed, an appointment was arranged with the appropriate office(s) and/or official(s) for an RTI research team to visit the office(s) of the organization and obtain information pertinent to methods and techniques employed by the organization in its international development assistance operations. Once an appointment was arranged, a letter confirming the appointment was mailed to the organization (where time permitted), along with background information on RTI and a copy of an

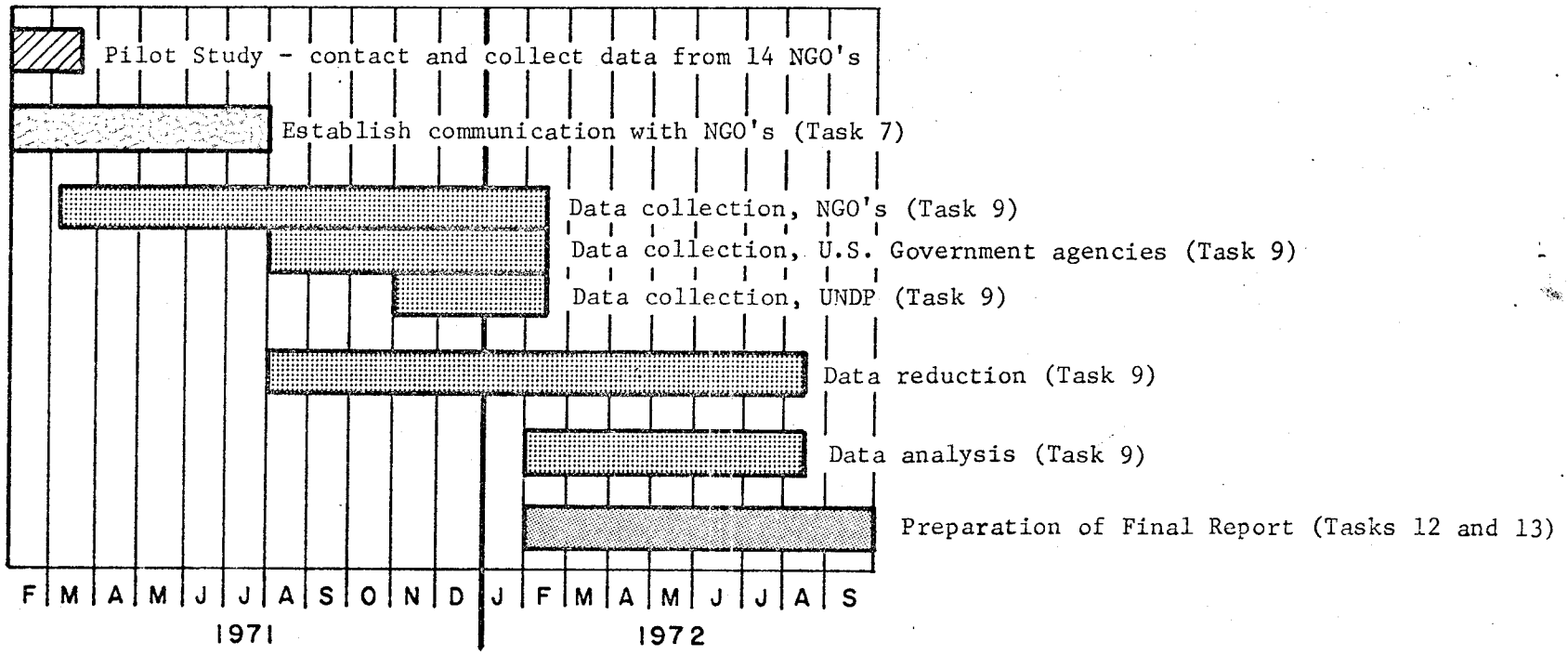


Fig. 4. Phase III Research: Time frame and tasks accomplished.

ACCION International
145 East 52nd Street, Suite 9A
New York, New York 10022

DRAFT

Dear Sirs:

The Operations Research and Economics Division of the Research Triangle Institute is currently engaged in a study for the Department of Defense of technical assistance methods and techniques employed by government and private agencies (other than the Department of Defense) which might be applicable to military civic action. The purpose of the study is to make recommendations designed to improve the efficiency and effectiveness of military civic action.

The next phase of our research effort will be an in-depth study of selected U.S. voluntary agencies and foundations involved in technical assistance abroad. We are primarily and particularly interested in agencies which appear to have been active and effective in foreign technical assistance; however, we are also interested in a few somewhat less than successful projects, for the benefit of "lessons learned." From remarks by the Voluntary Agencies Division of the Agency for International Development and a literature search, including Technical Assistance Information Clearing House directories, your organization has been revealed as one which might be particularly beneficial to our study.

In particular, we are interested in the following aspects of your organization:

a) Documented and/or well-defined doctrine and objectives, both general and specific;

b) Staff organization: channels of authority and specific responsibilities, particularly with regard to the overseas staff;

c) Personnel selection: requirements and selection process;

d) Training methods;

e) Planning techniques, including project selection criteria;

f) Project organization and operating techniques, particularly documented guidelines for project implementation; and

g) Evaluation, including methods of appraisal, project effectiveness criteria, and subjective evaluation as to whether or not a method or technique, program or project, has been successful.

With regard to this phase of our research effort, a member of the Research Triangle Institute research team will contact your offices to make an appointment for a visit. The purpose of the visit will be to explain our research effort in greater detail and hopefully to discuss relevant aspects of your organization.

We would greatly appreciate your cooperation and assistance; any information with which you supply us would, of course, be properly acknowledged.

Yours very truly,

DRAFT

Fig. 5. Letter Proposed for Organizations Suggested for Phase III Research.

informal questionnaire around which the data collection interview was structured. A facsimile of the questionnaire is presented in Appendix C.

The questionnaire was not used consistently with the U.S. Government agencies and the UNDP since the offices of those agencies responsible for specific aspects of international development assistance are generally separated both functionally and physically due to the overall size of the organizations. Nevertheless, the questionnaire was used for reference and the same questions were asked of the appropriate officials.

The Phase III data collection effort was accomplished over the period March 1971 - February 1972, as shown in Figure 4. More detail regarding data collection from specific agencies and organizations will be found in appropriate following sections. During the data collection period, the project has encountered and overcome two obstacles:

a) Kenneth L. Mayall, who had served as director of the project since its initiation in April 1970 and who also was RTI's chief liaison officer with A.I.D., left RTI in May 1971 for health reasons. His departure resulted in management adjustments and in the necessity for additional data collection from A.I.D. to fill data gaps and enlighten the RTI research team as to methods and techniques employed by A.I.D. in international development assistance.

b) The response to the Phase III data collection effort on the part of both Government agencies and NGO's was overwhelmingly positive, most providing

considerable printed information to supplement the questionnaire and interview. In fact, during the Phase III data reduction and analysis effort, the investigators have processed over 300 pieces of literature supplied by selected agencies, this over and above the 270 documents retained in the Phase I literature search. This proliferation of information has resulted in an unexpected but profitable prolongation of Task 9.

2) Data Reduction

A matrix to facilitate *reduction* and analysis of the data was developed in August 1971, at which time data reduction began, as shown in Figure 4. The matrix contained in excess of 2,000 cells, with information categories on the vertical axis and organizations as the horizontal axis. Facsimiles of three of the ten pages of the matrix are reproduced as Appendix D.

In reducing the data for analysis, an attempt was made to assimilate data from the interview, questionnaire and supplementary literature as well as the Phase I findings. Facets of the data reduction process are presented in appropriate following sections.

3) Data Analysis

Analysis of the data has actually been a continuous process since the first input in March 1971, but critical analysis for the purpose of preparing this report did not begin until February 1972, as shown in Figure 4.

d. Tasks 10 and 11: Comparison of Civilian and Military Techniques and Recommendations for Military Civic Action

See Volume II of this report.

e. Tasks 12 and 13: Preparation of Final Report in Draft and Final Form

Preparation of this draft final report began in February 1972 and the report was submitted to the contracting agency on 31 July 1972. After review of the draft final report by the contracting agency, it was revised, prepared in final form, and re-submitted to the contracting agency on 30 September 1972.

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1. Martin F. Massoglia, Philip S. McMullan and Clarence N. Dillard. Military Civic Action: Evaluation of Military Techniques (FR-OU-532). Research Triangle Park, N.C.: Research Triangle Institute, July 1971.

2. Kenneth L. Mayall, *et al. Phase I Special Technical Report: Military Civic Action (Evaluation of Civilian Techniques).* Research Triangle Park, N.C.: Research Triangle Institute, unpublished (OU-533).

II. EVALUATION OF TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE BY U.S. NONGOVERNMENT ORGANIZATIONS

A. Introduction

This chapter presents a summary of RTI's research into methods and techniques employed by U.S. nongovernment organizations (NGO's) in various aspects of their international development assistance operations. Included are comments on the methodology; a summary of findings, including those of Phase I where appropriate; and a general subjective evaluation of certain of the methods and techniques disclosed.

Throughout this report the term *international development assistance* [Ref. 1, p. 2] is used as the preferable comprehensive term to include all forms of financial, material and technical aid to assist the socioeconomic development of developing countries. The term *international development assistance* seems to reach beyond the limitations and exclusions of other terms that have been used, such as *foreign, overseas* and *technical*. The term *foreign* connotes exclusion of those organizations that are effectively involved in international development assistance but which do not maintain resident staff outside the U.S. The term *overseas* connotes exclusion of developing countries in the Western hemisphere, in particular Mexico. The term *technical* connotes exclusion of those organizations who contribute substantial financial and material support to international development assistance, but who are not significantly involved in direct project operations.

B. Methodology

The general methodology employed in the Phase I literature search for information regarding methods and techniques employed by selected NGO's in their international development assistance operations, as well as that employed in the Phase III data collection effort, has been outlined in Chapter I. The methodology will be discussed in this section in terms of the selection of organizations to be included in the study, their response to the study, and the availability of different types of information.

1. Selection of Organizations

As mentioned in Chapter I, 32 NGO's were investigated during the Phase I literature search. In selecting the NGO's for Phase I, consideration was given to recommendations by the Voluntary Agencies Division of A.I.D. (and other Government agencies), a review of directories compiled by the Technical Assistance Information Clearing House (TAICH) of the American Council of Voluntary Agencies for Foreign Service (ACVA), and accumulated RTI knowledge and experience.

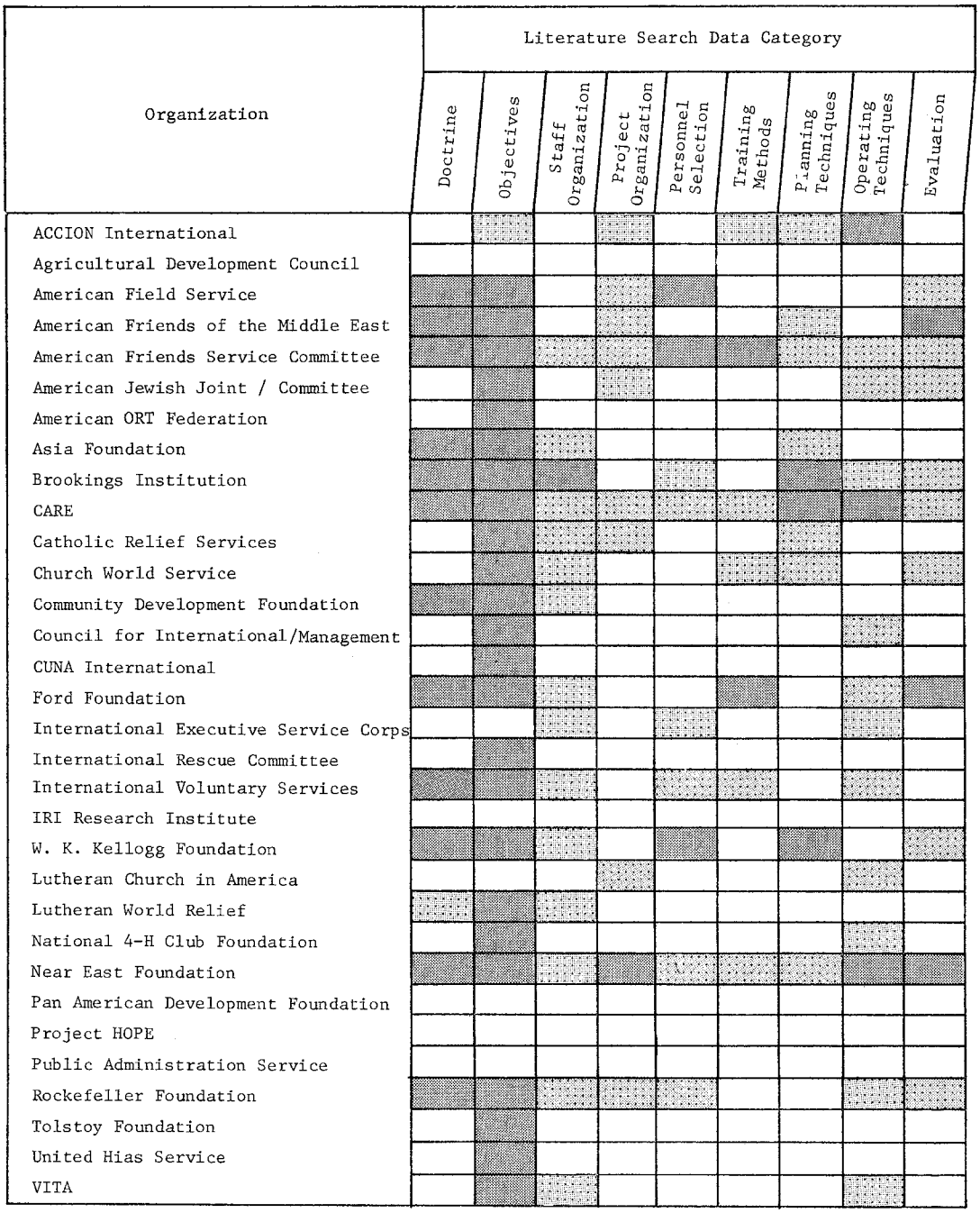
The Voluntary Agencies Division of A.I.D. has provided valuable assistance to this research effort, particularly during its earlier stages. Howard Kresge, Chief of the Voluntary Agencies Division, is also Executive Director of the Advisory Committee on Voluntary Foreign Aid, which was established by Presidential directive in 1946 *to tie together the governmental and private programs in the field of foreign relief and to work with interested agencies and groups.* [Ref. 2, p. 3] The Committee is composed of civilian volunteers whose job is *to guide the public and the agencies seeking the support of the public in the appropriate and productive use of voluntary contributions for foreign aid.* [Ref. 2, p. 3]

The TAICH, which has been a valuable source of information from the beginning of this research effort, is operated by ACVA under contract to A.I.D. ACVA is an organization of private agencies established in 1943 *to provide a means for consultation, coordination and planning, and to assure the maximum effective use of contributions by the American community for the assistance of people overseas.* [Ref. 3] Elizabeth Reiss and Mary Ellen Burgess of ACVA provided valuable information to this research effort in its later stages, particularly as regards international cooperation by NGO's and filling data deficiencies, such as information on organizations not responding to the initial letter in Phase III.

The 32 NGO's investigated during the Phase I literature search are shown in Table 1, along with an indication of the availability

Table 1

SUMMARY OF REFERENCES IN THE LITERATURE TO SPECIFIC AREAS OF INTEREST DEALING WITH OBJECTIVES, METHODS AND TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE BY U.S. NONGOVERNMENT ORGANIZATIONS INVESTIGATED IN THE PHASE I LITERATURE SEARCH



Legend:

- Literature informative regarding objectives, methods, or techniques of organization.
- Literature indicative that information exists and warrants further research.
- No specific indications or information from the literature.

of information from the literature regarding methods and techniques employed by these organizations in various aspects of their international development assistance operations.

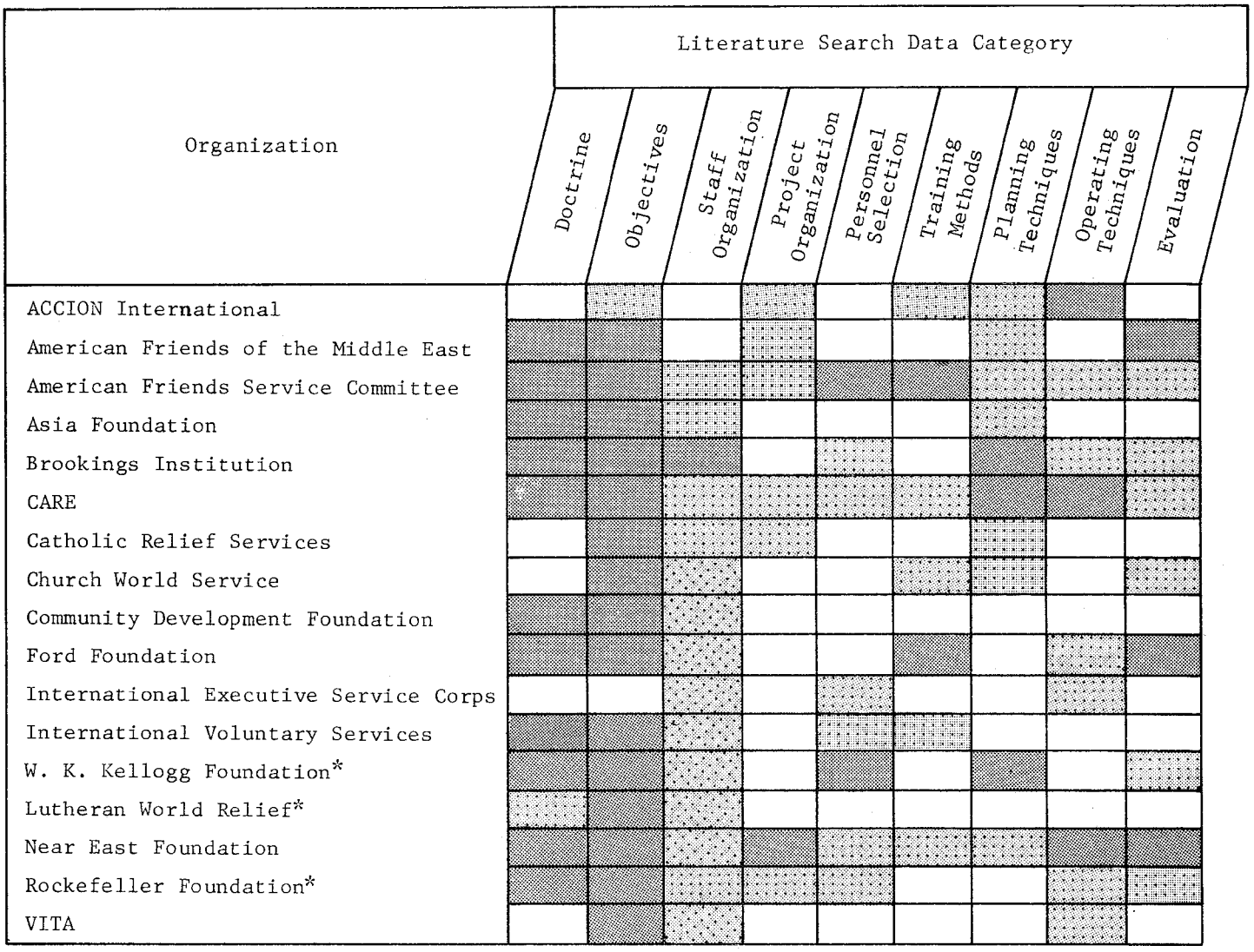
At the end of Phase I, RTI recommended that 17 of these 32 NGO's be further investigated during Phase III as the literature search indicated that further research into these organizations might prove beneficial to the research effort. Table 2 presents a listing of these 17 NGO's (14 regulars and 3 alternates) which were recommended by RTI for Phase III and the relative value of information available from the Phase I literature search regarding methods and techniques employed in various aspects of their international development assistance operations.

The contracting agency provided a list of 35 *U.S. non-profit volunteer organizations conducting overseas technical and community development work* [Ref. 4] to be investigated during Phase III of this research effort. Of these 35, ten had been recommended by RTI. The RTI list and the contracting agency's list were combined to produce a list of 40 NGO's to be contacted during Phase III regarding methods and techniques employed in various aspects of their international development assistance operations. These 40 NGO's are listed in Table 3, along with the source of recommendation for further research (RTI or the contracting agency); whether or not the organization was included in the Phase I literature search (see Tables 1 and 2); and professional affiliations of the organization, membership in ACVA and/or registration with the A.I.D. Advisory Committee on Voluntary Foreign Aid.

Of the 40 NGO's recommended for research during Phase III, 24 were recommended only by the contracting agency, six only by RTI, and ten by both the contracting agency and RTI. Two of the organizations recommended, the Community Development Foundation and Save the Children Federation, are basically under the same general administration and accordingly are shown as one organization in Table 3.

Table 2

SUMMARY OF FINDINGS FROM THE PHASE I LITERATURE SEARCH REGARDING METHODS AND TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE BY NONGOVERNMENT ORGANIZATIONS RECOMMENDED FOR FURTHER RESEARCH DURING PHASE III



Legend:

- Literature informative regarding objectives, methods, or techniques of organization/agency.
- Literature indicative that information exists and warrants further research.
- No specific indications or information from the literature.

* Alternates.

Source: Table 1.

Table 3

NONGOVERNMENT ORGANIZATIONS RECOMMENDED FOR FURTHER RESEARCH DURING PHASE III: SOURCE OF THE RECOMMENDATION, STATUS DURING PHASE I LITERATURE SEARCH, AND PROFESSIONAL AFFILIATION

Organizations Recommended for Further Research During Phase III *(Organizations to be contacted during Phase III)*	Source of Recommendation		Included in Phase I Literature Search[3]	Professional Affiliation	
	RTI[1]	Contracting Agency[2]		ACVA[4]	A.I.D.[5] Advisory Committee
ACCION International	X	X	X		
Agricultural and Technical Assistance Foundation		X			
Agricultural Cooperative Development International*		X			
Agricultural Development Council, Inc.		X	X		
American Friends of the Middle East	X		X		
American Friends Service Committee	X	X	X	X	X
American Institute for Free Labor Development		X			X
American International Association for Economic and Social Development		X			
American-Korean Foundation, Inc.		X			X
Asia Foundation	X	X	X		
Association for International Development		X			
CARE, Inc.	X	X	X	X	X
Carnegie Corporation of New York		X			
Catholic Relief Services	X		X	X	X
Church World Service	X		X	X	X
Community Development Foundation/ Save the Children Federation, Inc.	X	X	X	X/X	X
Ford Foundation	X	X	X		
Foundation for Cooperative Housing Company, Inc.		X			
Inter-American Technical Assistance Foundation/Thomas Murray Training Center		X			
International Development Foundation, Inc.		X			
International Development Services, Inc.		X			
International Executive Service Corps	X		X		
International Institute of Rural Reconstruction*		X			
International Voluntary Service		X			
International Voluntary Services, Inc.	X	X	X		
Kellogg Foundation	X		X		
Labor's Peace Corps and Development Program		X			
Lutheran World Relief	X		X	X	X
Near East Foundation	X	X	X	X	X
Pan American Development Foundation, Inc.		X	X		X
Peace with Freedom, Inc.		X			
Public Administration Service		X	X		
Rockefeller Foundation	X	X	X		
Self Help, Inc.		X			
Unitarian Universalist Service Committee, Inc.		X		X	
Volunteers for International Development, Inc.		X			
Volunteers for International Technical Assistance, Inc. (VITA)	X	X	X		X
World Neighbors, Inc.		X			X
YMCA International Committee		X			X
YWCA International Division		X	X	X	X

* Represents name change from that provided by contracting agency.

[1] See Tables 1 and 2.

[2] Jack L. Childers, Program Manager, U.S. Army Missile Command Headquarters, official communication, December 28, 1970.

[3] See Table 1.

[4] American Council of Voluntary Agencies for Foreign Service (ACVA), *U.S. Voluntary Agencies in Service Programs Abroad.* New York: ACVA, 1969.

[5] Voluntary Agencies Division, Agency for International Development (A.I.D.). Voluntary Foreign Aid Programs. Washington, D. C.: Department of State, October 1969.

Nineteen of the organizations listed in Table 3 were included in the Phase I literature search (see Table 1). Ten are members of ACVA and 18 are registered with the A.I.D. Advisory Committee on Voluntary Foreign Aid.

Only one of the NGO's recommended originally by RTI for further research during Phase III and listed in Table 2 was dropped from the list which appears in Table 3. That organization, the Brookings Institution, is not actively or directly involved in international development assistance. The offices of the Brookings Institution were visited unofficially, however, to gain access to the Institution's library and list of publications.

2. Response

The 40 NGO's shown in Table 3, and hereafter referred to as the *initial sample*, were sent a letter similar to those shown in Figure 5 and Appendix B. This letter explained the nature of the study and requested the participation of the organization in the research effort, as described in Chapter I.

Of the 40 NGO's in the initial sample, the initial letter to three was returned to RTI and attempts to establish other communication were to no avail, as indicated in Table 4, which summarizes the contacts with, and data collection from, the NGO's during Phase III. The three organizations on whom the letter was returned had no local telephone listing. For two more of the NGO's in the initial sample, the initial letter was not returned, but attempts to establish further communication were futile. There was no answer to our initial letter and while the two organizations had local telephone listings, there was no answer at any hour.

One organization in the initial sample, the American International Association for Economic and Social Development, responded with a letter indicating that their office ceased operations in December 1969.

As indicated in Table 4, two organizations in the initial sample refused outright to participate in the study, one due to the DOD funding and one due to ongoing internal reorganization. One other organization made communication and cooperation difficult and

Table 4

SUMMARY OF PHASE III CONTACTS AND DATA COLLECTION:
U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN
INTERNATIONAL DEVELOPMENT ASSISTANCE

Data Collection Step or Procedure	Number of Organizations	Percent of Total
Total in Initial Sample	40	100.00
Initial Letter Returned - No Further Contact Established	3	7.50
Initial Letter Not Returned, But No Contact Established	2	5.00
Ceased Operations	1	2.50
Unable to Participate in Study	1	2.50
Refused to Participate in Study	2	5.00
Participating in Study	31	77.50
Total in Study Sample	34+	100.00
Interviews	32	94.12
Completed Questionnaires	15	44.12
Questionnaire and Interview	13	38.24

+Three organizations who are largely subsidized by, or were created through the efforts of an organization in the initial sample, were visited at the suggestion of the initial organization. These three organizations did not receive questionnaires in advance of the interview.

eventually impossible through such actions as cancelled appointments; this organization is shown in Table 4 as *unable to participate in study* but probably should be considered a refusal.

All of these nine NGO's from the initial sample who did not participate in the study, or with whom communication was not established, were recommended by the contracting agency. The six organizations with whom communication was not established probably reflects an obsolete list of organizations. In this regard, two other organizations recommended by the contracting agency had undergone name changes from that provided by the contracting agency (see Table 3).

3. Data Collection

As indicated in Table 4, 31 or 77.5 percent of the 40 NGO's in the initial sample participated in the study. In addition, three organizations in the initial sample recommended that, for supplementary information, we visit other organizations subsidized by them or created largely through their efforts. The Carnegie Corporation of New York (CCNY) suggested that we visit Education and World Affairs (EWA), now a part of the *International Council for Educational Development* (ICED), and the Overseas Liaison Committee (OLC) of the *American Council on Education* (ACE). This latter organization was also recommended by the Rockefeller Foundation. Catholic Relief Services (CRS) recommended that we visit the offices of *CODEL, Inc.* The addition of these three organizations resulted in a *study sample* consisting of 34 NGO's.

Two of the organizations who participated in this study did so unofficially and despite serious reservations prompted by the DOD funding. Nonetheless, both organizations felt that the research had merit and provided valuable information, asking only that they remain anonymous. In order to protect the anonymity of these two organizations and the confidential nature of their data, a detailed list of the study sample is not presented in this report but was submitted to the contracting agency as personal communications to Major Stephen Walker of USAMICOM dated April 7 and August 2, 1971.

Once communication had been established and cooperation of the NGO was assured, an appointment was arranged for the RTI research team to visit the offices of the organization and interview appropriate

individuals regarding methods and techniques employed by the organization in international development assistance. In advance of the interview, the individual with whom the interview was arranged was sent a letter confirming the interview appointment and a copy of the questionnaire shown in Appendix C, as described in Chapter I. The only exceptions to this procedure were the three supplementary organizations referred to in the first paragraph of this section, where time precluded submission of the questionnaire before the interview. Nonetheless, the questionnaire format was followed in the interview.

Data collection interviews were held with 32 of the 34 NGO's in the study sample, or some 94 percent (Table 4). One organization refused to grant the RTI research team an interview due to a previous disagreeable experience with Project CAMELOT and connotations of the DOD funding of this research effort; this organization did, however, complete the questionnaire and provided considerable supplementary information. Communication with the other organization was not established until July 1971 at which time interviews with most of the NGO's had been completed. The geographic location of this latter organization made an interview impractical, but the organization did complete the questionnaire and again provided supplemental information.

The questionnaire (Appendix C) employed in Phase III of this research effort was designed primarily to serve as an outline around which to structure the data collection interview. As can be seen in Appendix C, space was provided on the questionnaire to record certain objective information for the convenience of the NGO and to facilitate data collection by the RTI research team.

Fifteen of the 34 NGO's in the study sample, or some 44 percent, provided RTI with wholly or partially completed copies of the questionnaire, as indicated in Table 4. Most of these simply recorded the objective information for which space was provided, but several took the time to answer even the more subjective questions such as 20 and 21 *on the questionnaire*, and some organizations, notably CARE,

prepared thorough briefings and detailed answers to each question. We had an interview *and* a completed questionnaire for only 13 NGO's, however--some 38 percent of the study sample.

C. Findings

1. General Remarks

During Phase I of this research effort, RTI found evidence that NGO's involved in international development assistance have developed methods and techniques, not always adequately set forth in published literature, that should be further explored. This was, in fact, the basic rationale for continuing with Phase III of this research effort. The doctrine and overall objectives of the NGO's investigated during the Phase I literature search appeared to be well-conceived, and several of the organizations appeared to have well-defined and well-documented methods and techniques. Unfortunately, however, the Phase I literature search did not reveal information in detail adequate to permit systematic compilation and comparison for analysis and evaluation (see Table 1). The Phase I literature search did reveal, however, that in many instances but perhaps to differing degrees, necessary information regarding development assistance objectives, methods and techniques in sufficient detail to permit a competent analysis and evaluation does exist within the NGO's (see Table 1). In addition, the Phase I literature search provided valuable background information and sufficient detail in selected areas which facilitated the collection, classification, and analysis of more detailed information during Phase III.

The rationale upon which Phase III was begun was borne out by the results, as presented in the following sections and summarized superficially in Table 5, which presents a summary of general information available from the NGO's during Phase III regarding various aspects of international development assistance operations, and the source of the information.

Most of the findings and impressions from the Phase I literature search were substantiated by the Phase III research effort and several

Table 5

PHASE III: SUMMARY OF INFORMATION AVAILABLE FROM U.S. NONGOVERNMENT ORGANIZATIONS REGARDING METHODS AND TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE AND SOURCE OF INFORMATION: PRINTED MATERIAL, INTERVIEW AND/OR QUESTIONNAIRE

Information Category	Number and Percent of Agencies Providing Information By						Total Providing Information	
	Printed Material		Interview		Questionnaire			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	34	100.00	32	100.00	15	100.00	34	100.00
History	29	85.29	24	75.00	15	100.00	34	100.00
Philosophy and Objectives	32	94.12	24	75.00	3	20.00	34	100.00
Description of Activities	33*	97.06	27	84.38	15	100.00	33*	97.06
Organizational Structure	8	23.53	20	62.50	5	33.33	28*	82.35
Personnel Policies	12	35.29	27	84.38	7	46.67	32	94.12
Planning Policies	20	58.82	25	78.13	6	40.00	33	97.06
Operations Manual or Guidelines	16	47.06	23	71.88	5	33.33	29	85.29
Evaluation Guidelines or Reports	24	70.59	28	87.50	6	40.00	34	100.00

* CODEL, Inc., is still in the process of organization and formulating many of its policies.

are demonstrated in Table 5. For example, the Phase I literature search revealed that most NGO's seem to have developed sound doctrine on which their general objectives are based. Furthermore, these objectives are relatively clear, concise, well-documented broad formulations which govern their international development assistance activities; leave little doubt in the minds of their staff, contributors or recipients as to the purpose(s) of the organization; provide a basis for direction and efficient operation; and provide criteria for evaluation. The Phase I literature further indicated that several NGO's have well-formulated (and in some cases documented) methods and techniques on programming, operating and project appraisal procedures, but information on these aspects of international development assistance was less well-documented in the general literature than information on doctrine and objectives.

As can be seen in Table 5, the data collection interview was the most consistently effective means of obtaining information from the NGO's in Phase III, particularly with regard to the more specific methods and techniques employed in operational aspects of international development assistance.

Printed material obtained directly from the NGO's was again the most consistent source of information on history, philosophy, objectives and general overview of the organization, as was the case in Phase I (see Tables 1 and 5). Interestingly, the printed material obtained from the NGO's directly provided information on evaluation guidelines, procedures and/or results for some 71 percent of the organizations investigated during Phase III (Table 5). The general literature examined during the Phase I literature search provided indicative or definitive information on evaluation for only some 34 percent of the organizations studied (Table 1). Such a finding, however, should probably not come as a surprise; CARE, for example, states in one of their manuals that *the Evaluation Report should provide New York* [the home office] *with information for fund raising and public relations.* [Ref. 5, p. 58]

As was the case in Phase I, the printed material obtained in Phase III was less consistently a source of information on organizational structure and more specific operational aspects of international development assistance (Table 5); this information was more consistently obtained through the interview.

Between the questionnaire, the interview and supplementary printed material, information was obtained on methods and techniques employed by at least 82 percent of the NGO's in their international development assistance activities (Table 5). In most instances where information was not obtained, the reason was nonapplicability of the category, primarily due to limited size of the organization or limited scope of activity. For example, three of the NGO's studied in Phase III have a total staff of ten or less and such infrequent personnel turnover that they have developed no personnel policies. Several of the NGO's maintain no resident staff outside the U.S. and most of the philanthropic institutions such as the W. K. Kellogg Foundation and the Carnegie Corporation of New York, both of whom are primarily grant-making institutions, are not involved in direct project operation outside the U.S. Furthermore, some organizations are only involved in training (*e.g.*, Volunteers for International Development, Inc.) or educational and cultural exchange (*e.g.*, American Friends of the Middle East) and are not actively involved in international development assistance *projects* as such. Nonetheless, these organizations provided valuable input regarding general and some specific aspects of international development assistance.

2. Overview of Organizations

The 34 NGO's studied during Phase III of this research effort represented a reasonable cross section of U.S. NGO's involved in international development assistance. They varied widely in terms of size, philosophy and objectives, longevity, focus and scope of activity, source of funding, and manner and degree to which information was available on their international development assistance operations (Table 5). However, all are essentially nongovernment and involved to some degree in international development assistance.

a. Source of Funds

Some of the organizations, notably the American Institute for Free Labor Development (AIFLD) are so heavily dependent on the U.S. Government for funds and *raison d'etre* that they might be considered almost a *quasi nongovernmental organization* [Ref. 6, p. 10]. Of the 34 NGO's studied during Phase III, 24 or some 71 percent indicated that the U.S. Government was a major source of funds, as shown in Table 6 which summarizes sources of funds used by the NGO's to support international development assistance operations. Most of these Government funds are in the form of A.I.D. contracts. Some of these organizations have indicated concern over this dependency on Government funds and have expressed a goal of obtaining more than 51 percent of their operating capital from nongovernment sources. As shown in Table 6, only one organization indicated that they do not accept Government funds.

As shown in Table 6, all of the NGO's studied during Phase III indicated that contributions from the U.S. private sector were a major source of funds and 15 (44 percent) indicated that host government agencies contributed in some way to their financial support. Other sources of support mentioned less often included the host country private sector (industry, labor unions, churches, voluntary agencies, etc.); United Nations (U.N.) sponsorship and support in the form of grants, contracts and donations; support from membership (churches, labor unions, cooperatives, consortia, etc.); and university sponsorship and support.

Of the 34 NGO's studied during Phase III, 16 (47 percent) indicated that a major portion of their international development assistance operations were performed under some sort of contract arrangement. Some of the organizations such as Public Administration Service operate almost exclusively under contract.

Eight of the NGO's in this study indicated that they make a policy of charging the recipients of the development assistance,

Table 6

SOURCES OF FUNDS TO SUPPORT INTERNATIONAL DEVELOPMENT ASSISTANCE ACTIVITIES OF U.S. NONGOVERNMENT ORGANIZATIONS

Source of Funds	Number of Agencies	
	Indicating Use of Source	Indicating No Use of Source
U.S. Private Sector	34	-
U.S. Government Agencies	24	1
Host Government	15	-
Host Country Private Sector	7	-
United Nations	6	-
Membership	6	-
Universities	1	-

be it the host government, industry, members of a cooperative, or village farmers, something for services or materials rendered. Where the local village people are concerned, the charge is usually minimal but designed to foster pride, self-respect and responsibility. Four organizations indicated the use of Food-for-Work projects.

During Phase I, the TAICH term *non-profit organizations* [Ref. 7] was used for the organizations referred to herein by the more comprehensive term *nongovernment organizations*. This change of terminology was necessary as one of the organizations recommended by the contracting agency, International Development Services (IDS), has recently converted from non-profit to commercial. IDS indicated that this conversion has not resulted in a significant shift of emphasis within the organization, but has placed them in a more competitive position in bidding on contracts and projects.

Throughout this report, the absence of a positive response does not thereby indicate a negative response. In the interview, care was taken *not* to *lead* the respondents and thereby collect only spontaneous and emphasized information.

b. Longevity, Size and Organizational Structure

Of the NGO's included in this study, the oldest is the Young Men's Christian Association (YMCA) founded in 1889, and the youngest is CODEL, Inc., founded in 1969 and still in the process of organization and formulation of policies. The average founding year for the NGO's was 1945. By comparison, A.I.D. was created in 1961 [Ref. 8, Chapter IV, p. 5]. In most instances this does not consider predecessor agencies due to differences in philosophy and activities of the predecessor agency.

In size, the NGO's included in this study ranged from IDS and the Pan American Development Foundation (PADF), both of which indicated a permanent staff of less than ten, to CRS, which indicated a payroll in recent years exceeding a thousand

persons. On the average, however, the NGO's involved in international development assistance do not support cumbersome bureaucratic organizations composed of large numbers of superfluous personnel. Of 26 NGO's who provided relatively definite figures for the total number of permanent and temporary staff and volunteers, both at home and abroad, only nine (some 35 percent) indicated a staff exceeding 100 persons and eight (some 31 percent) indicated that their total staff numbered 50-100 persons; the remaining nine indicated a total staff of less than 30. If only the permanent U.S. home office staff is considered, only four (some 15 percent) of the NGO's in this study indicated a staff exceeding 100.

Of the 34 NGO's in the study sample only eight or 23.5 percent provided RTI with an organization chart or other detailed definitive printed description of organizational structure, although 28 of the study sample or some 82 percent provided some information on organizational structure (Table 6). Two other organizations indicated that organizational charts were in preparation or forthcoming, but these were never received by RTI despite followup.

As indicated in the preceding paragraphs, most of these organizations maintain a small staff within a relatively simple structure where channels of authority and responsibility are well-defined. Such an arrangement obviates a detailed formal organizational structure which could hinder communication and flexibility which are important characteristics of the NGOs' international development assistance operations.[Ref. 1, p. 4; Ref. 9, p. 7; Ref. 10, p. 7; Ref. 11, p. 4] Nevertheless, these organizations were capable of quickly outlining the basic elements of their organizational structure, as shown in Figure 6, which shows the relationship of overseas staff to the Executive Director of International Voluntary Services (IVS). Of particular note is the absence of deterrents between the Host Country Director

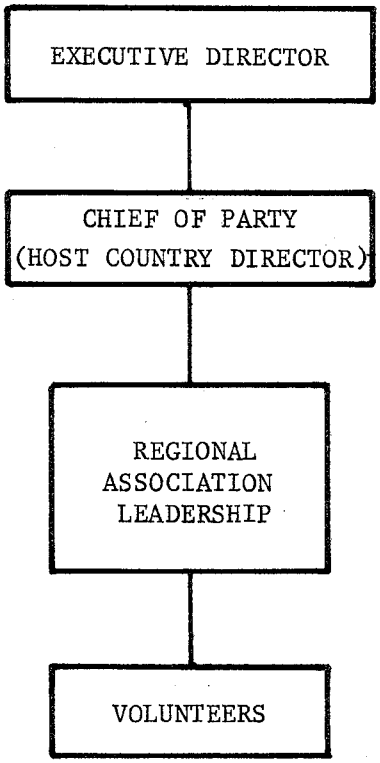


Fig. 6. International Voluntary Services, Overseas Staff Organization Chart, March 1971.

of IVS and the Executive Director of IVS. This broad and flexible organizational approach can, however, lead to some management problems, as indicated in the following comments from a recent management study of IVS:

> *The general principles of the IVS approach are sufficiently well-defined and broad to encompass more potential good projects and financial supporters than staff can explore in the time available. To date, however, IVS has had no budgeting and financial controls, no identification of priorities, and no administrative strategy.* [Ref. 12, p. 36]

The RTI research team found generally that those organizations which made the more careful and thorough preparations in advance of the data collection interview were also among the organizations most likely to provide details of their organizational structure, notably Agricultural Cooperative Development International (ACDI), CARE, Church World Service (CWS), Near East Foundation (NEF), World Neighbors (WN), and the YMCA.

ACDI, which had a total staff of some 30 individuals in June 1971, provided RTI with two organization charts shown as Figures 7 and 8 which outline respectively the overall organization of ACDI, including the relationship of the field staff, and the internal organization of the home office. Such a formal organizational structure for a relatively small organization is facilitated by the involvement of ACDI in a relatively specific and circumscribed area of international development assistance, *i.e.*, agricultural cooperatives.

NEF, which maintains a staff of approximately 100 persons and a somewhat broader program than that of ACDI, nevertheless operates within a similar organizational structure, as shown in Figure 9. Both ACDI and NEF demonstrate the same direct channels between the field staff and the senior officer as was seen with IVS (Figs. 6,7 and 9).

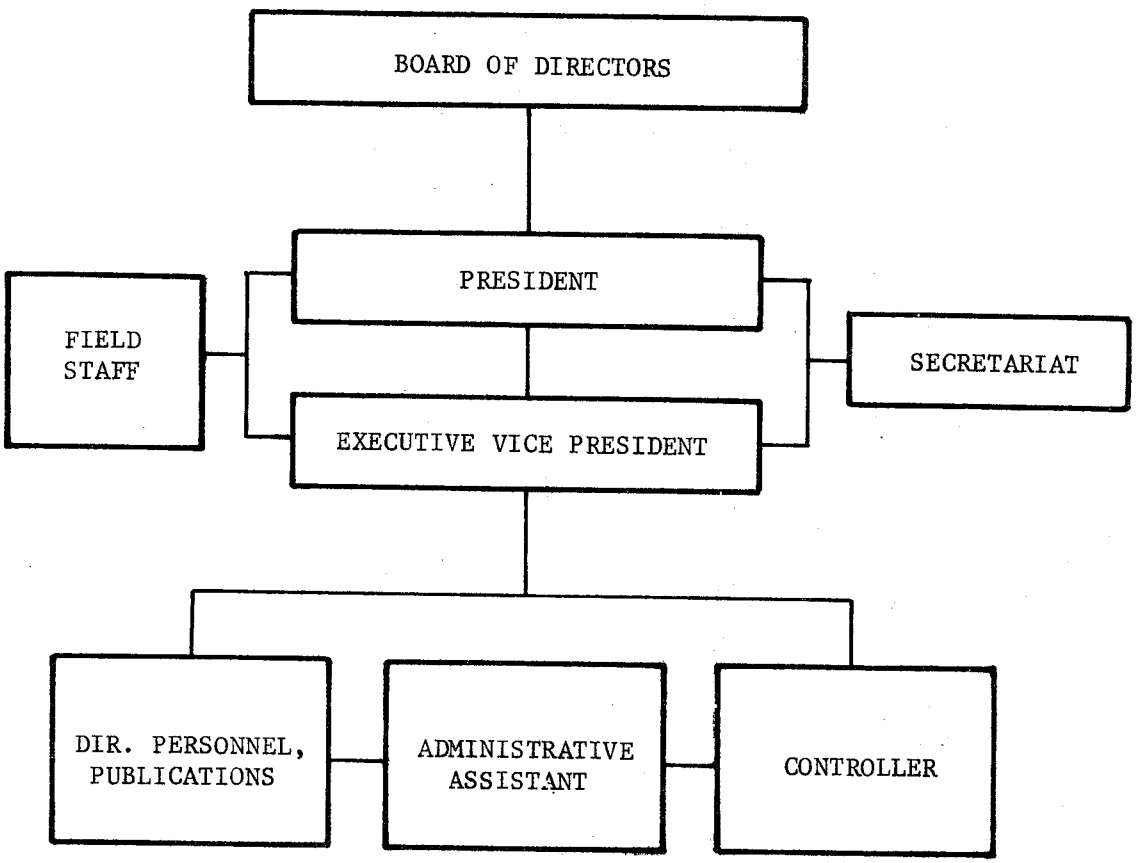


Fig. 7. Agricultural Cooperative Development International: Organization Chart A, Showing Relationship of Field Staff to Executive Officers, June 1971.

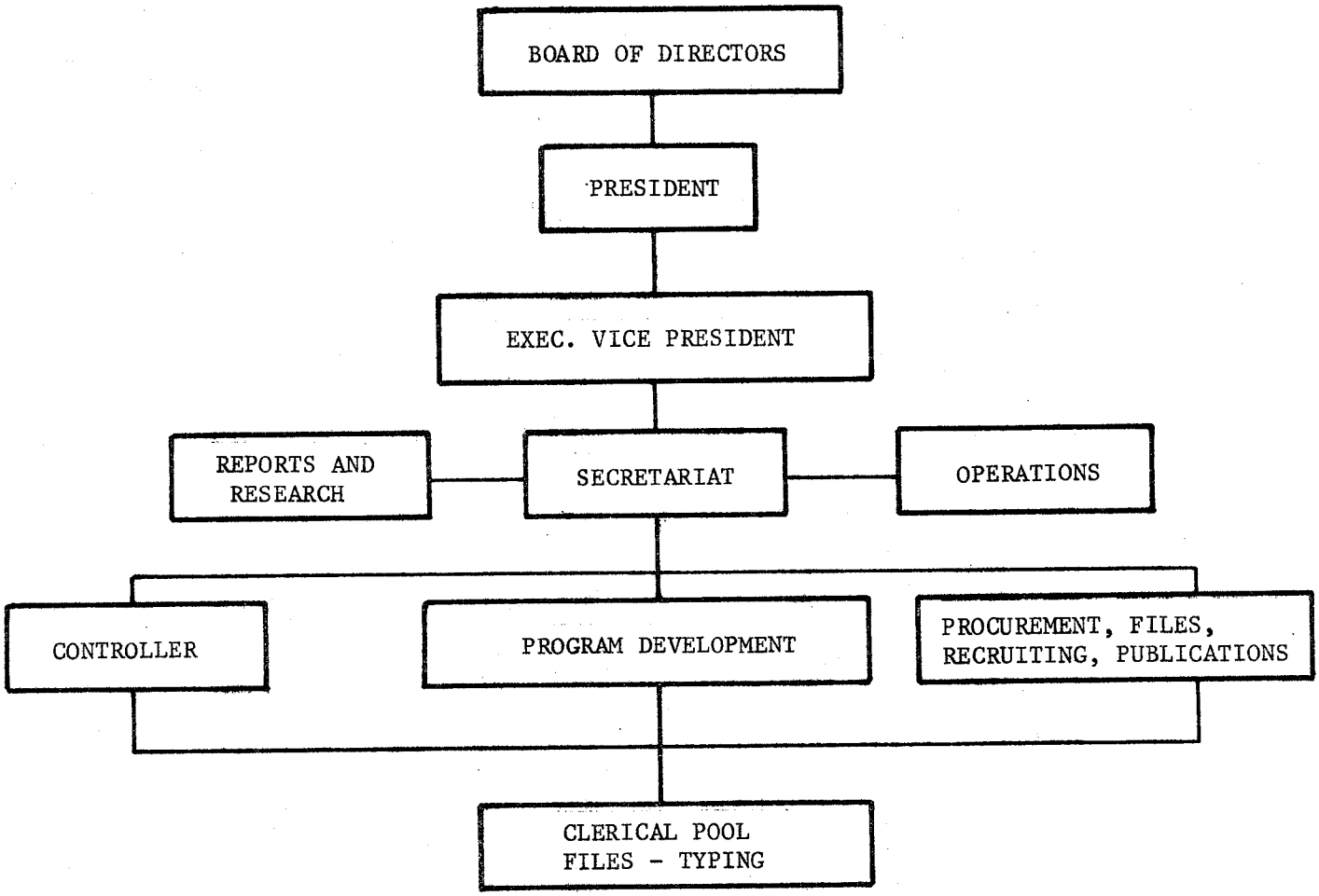


Fig. 8. Agricultural Cooperative Development International: Organization Chart B, Showing Internal Operations, June 1971.

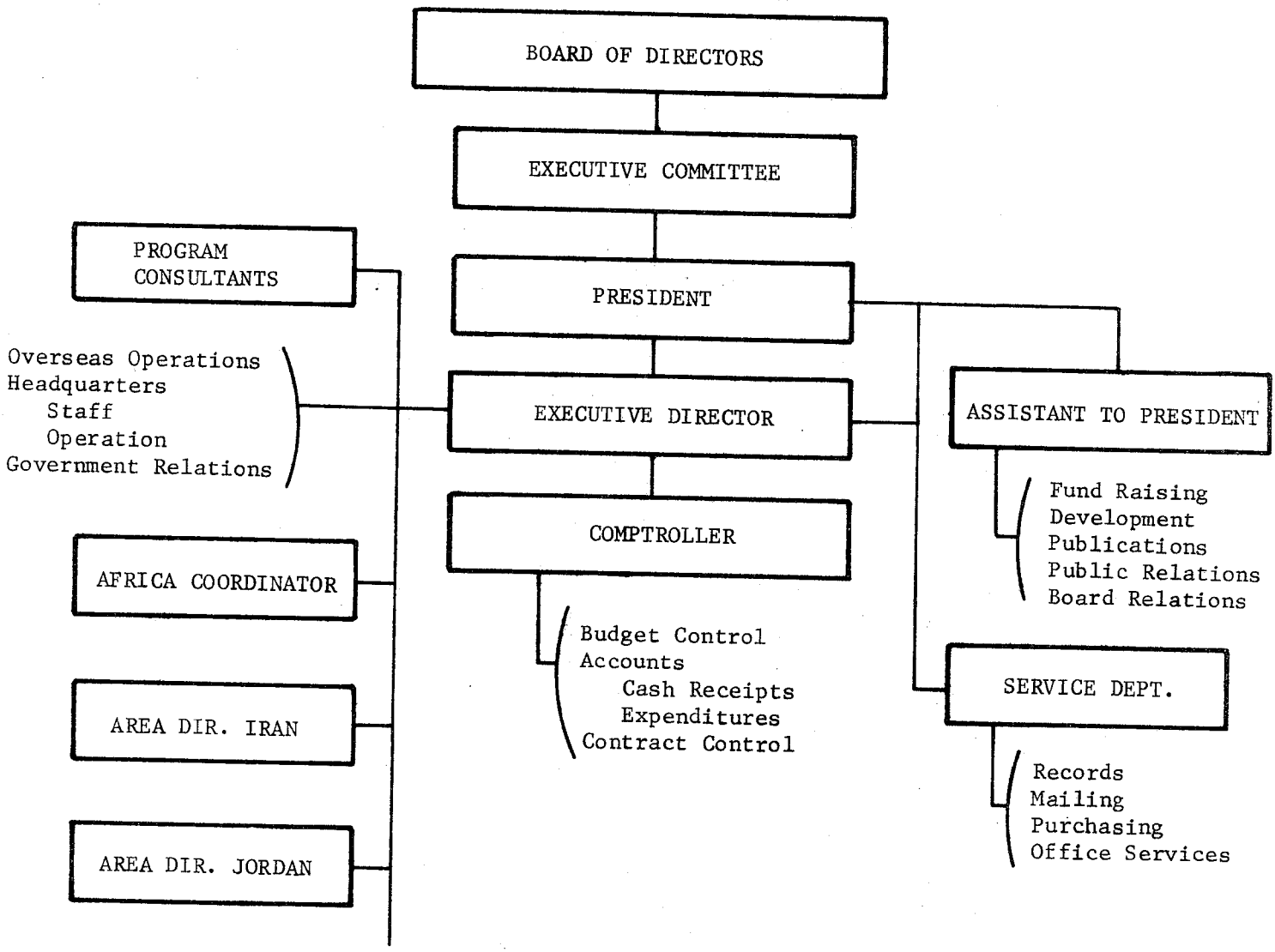


Fig. 9. Organization Chart: Near East Foundation, March 1971.

Such streamlining of channels of communication and authority is even seen with some of the larger organizations such as CARE, which operates a vast and multifaceted international development assistance program requiring a more complex organization and a large staff which included (in March 1971) 163 regular overseas staff and 758 host country nationals. The CARE organization chart (as of November 1970) is shown as Figure 10.

Interesting speculation arises regarding the general lack of succinct and detailed information available from senior personnel of the two major foundations (Ford and Rockefeller) in the study sample. Information regarding methods and techniques employed in the international development assistance operations of these two foundations, including information on organizational structure, was sketchy at best. The investigators were uncertain whether this dearth of data was due to (1) a lack of knowledge of detailed operations at lower levels due to cumbersome channels of communication, (2) an attitude of nonchalance toward the RTI study, (3) a reluctance to participate in the study due to its nature or funding (DOD), or (4) the absence of applicable and relevant information.

c. Scope of Activity: Categories of Development Assistance Programs

International development assistance has been defined by Lilian Espy in a 1964 TAICH directory as *any activity undertaken to assist the peoples of other countries in their efforts to improve their economic and social conditions.* [Ref. 7, p. ii] Such *assistance may be provided (1) under the auspices of international or regional organizations,* such as the UNDP or the NGO's; *(2) through bilateral country agreements,* such as A.I.D.; *or (3) by direct efforts on the part of the recipient country,* which may involve the UNDP, U.S. Government agencies, or the NGO's. [Ref. 13]

Throughout this research effort, the RTI research team has made wide utilization and application of the TAICH definition

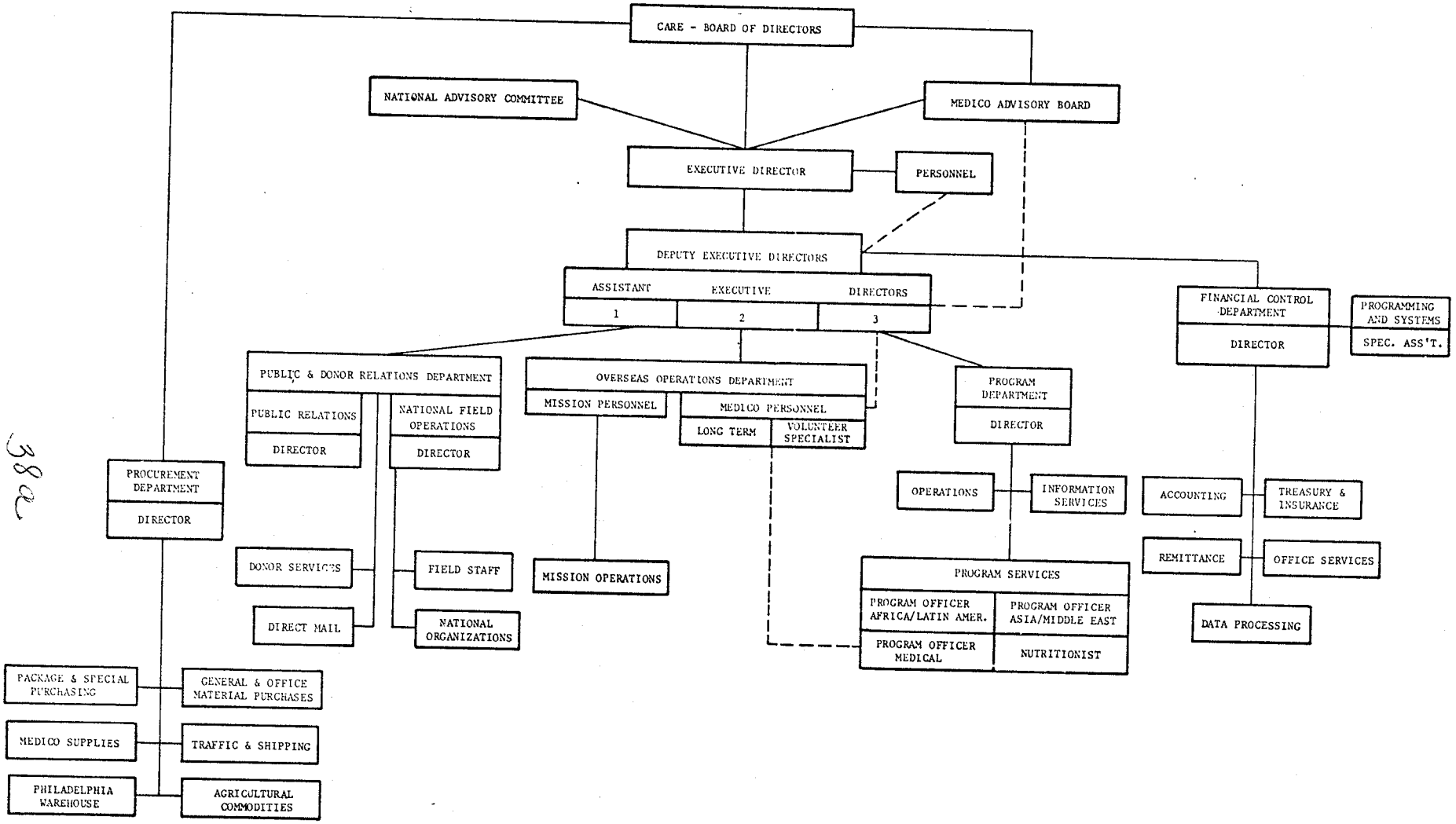


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Fig. 10. Organization Chart: CARE, Inc., November 1970.

of development assistance and their categories of development assistance programs. These categories, which are listed in Table 7 and for which the TAICH definitions are provided in Appendix E, are familiar to most of the NGO's. TAICH has been preparing directories of such activities since 1960.[Refs. 3, 7, 14-19]

On the questionnaire (Appendix C, question 8) and/or in the interview, the 34 NGO's in the study sample were asked to indicate in which of 13 categories of development assistance they were interested and/or involved, and further to rate this interest and/or involvement using a scale of 0-5 with increasing importance and/or involvement with increasing number. That is, a rating of *5* indicates most important or major involvement.

Table 7 summarizes the categories of development assistance in which the NGO's in the study sample are interested and/or involved, presenting the number of agencies interested and/or involved in each category, the number indicating absolutely no interest and/or involvement, the number of NGO's rating the importance of each category *(to that organization)*, and the average rating of importance of each category *from the individual ratings by the NGO's*. Unfortunately, only 15 of the 34 NGO's in the study sample completed the questionnaire in whole or in part and not all of those rated all 13 development assistance categories. Some organizations merely checked the categories in which they are currently involved and some only rated those categories which they felt to be the most important. Altogether, 21 of the 34 NGO's in the study sample rated some proportion of the categories, but 33 of the organizations indicated interest and/or involvement in at least one of the categories (CODEL is still in the process of formulating policy). The RTI research team felt, therefore, that the average rating by those organizations which rated the categories (column 4 of Table 7) might not be representative. For example, only 8 organizations indicated definitively no interest or involvement in one or another of the categories.

Table 7

CATEGORIES OF DEVELOPMENT ASSISTANCE IN WHICH
U.S. NONGOVERNMENT ORGANIZATIONS ARE INTERESTED AND/OR INVOLVED
AND RELATIVE IMPORTANCE

Development Assistance Category+	Number of Agencies			Average Rating*
	Indicating Interest and/or Involvement	Indicating No Interest and/or Involvement	Rating Category	
Communications/Information	14		10	3.2
Community Development**	24		14	4.6
Construction	19	2	12	2.7
Cooperatives, Credit Unions, Loans	18		12	3.6
Education	31		20	4.4
Equipment and Material Aid	12	3	9	1.4
Family Planning	18	2	13	3.4
Food Production and Agriculture	23		14	4.2
Industrial Development	8	3	9	2.2
Medicine and Public Health	22	3	17	3.2
Public and Business Administration	14	2	11	3.1
Research	12	3	10	2.4
Social Welfare	19	2	13	3.0

*Rating is based on a scale of 0-5, where 5 indicates most important and/or major involvement.

**Some organizations consider this category inclusive of others.

+See Appendix E for definitions.

In order to determine a more representative ranking of the development assistance categories by the NGO's a further average rank of the categories was calculated by taking an average of *each category's ranking by the agencies which ranked it* (column 4 of Table 7) and *each category's ranking by the number of organizations indicating interest or involvement in the category* (from column 1 of Table 7).

Table 8 presents the relative rank of the development assistance categories from the individual ratings by those organizations which provided a rating (column 1 - from column 4 of Table 7), the rank by the number of organizations indicating interest and/or involvement (column 2 - from column 1 of Table 7), and the average ranking (column 3 - from an average of columns 1 and 2). For example, the most important development assistance category according to the ratings provided by 14 of the NGO's in the study sample and averaged in column 4 of Table 7 was *community development,* which had an average rating by NGO's of 4.6, the highest rating on the scale of 0-5 where 5 is the highest rating--therefore, a ranking of 1 in column 1 of Table 8. By contrast, 24 of the NGO's in the study sample indicated interest and/or involvement in community development activities, second to *education* in which 31 of the study sample NGO's were involved (but which got the second highest rating by organizations, 4.4 in column 4 of Table 7). Therefore, education ranks first and community development second by number of organizations involved, column 2 of Table 8. An average of the rankings of the categories of education and community development in columns 1 and 2 of Table 8 yields the same average, 1.5, indicating that these two categories are of equal most importance in the international development assistance operations and planning of the NGO's--thus the identical rankings of 1 in column 3 of Table 8. The same procedure was followed with each of the development assistance categories.

Table 8

RELATIVE RANKING OF DEVELOPMENT ASSISTANCE CATEGORIES

Development Assistance Category	Relative Ranking*		Average Rank
	Rating by Organizations	Rank by Number of Organizations Involved in Category	
Community Development	1	2	1
Education	2	1	1
Food Production and Agriculture	3	3	3
Cooperatives, Credit Unions, Loans	4	7	4
Family Planning	5	7	6
Communications/Information	6	9	8
Medicine and Public Health	7	4	4
Public and Business Administration	8	9	10
Social Welfare	9	5	7
Construction	10	5	8
Research	11	11	11
Industrial Development	12	13	13
Equipment and Material Aid	13	11	12

*Rank: decreasing emphasis with increasing number.

As indicated in the preceding paragraph, and shown in Tables 7 and 8, the most important categories of international development assistance to NGO's in the Phase III study sample (as drawn from information supplied by them) are *education* and *community development*, followed closely by *food production and agriculture; cooperatives, credit unions and loans; and medicine and public health.* This finding compares favorably with the project areas emphasized by the Peace Corps (see Chapter III): i.e. community development, education, agricultural extension, and public health.[Ref. 20]

The emphasis placed on education and community development by the NGO's should not be surprising, considering the nature of the categories. For example, pursuit of most of the other development assistance categories most almost always includes some element of education. In fact, the Kellogg Foundation supports considerable effort in the areas of education and professional training based on the premise that *education offers the greatest opportunity for really improving one generation over another.* [Ref. 21]

Community development generally involves at least one of the other development assistance categories, and in fact many organizations consider the community development category inclusive of several of the development assistance categories listed in Tables 7 and 8. For the purposes of this study, however, most of the organizations were helpful in breaking *community development* down into its various components, as defined in Appendix E. The definition of community development by various organizations differs widely. For example, the International Institute of Rural Reconstruction (IIRR) stresses that development programs *must work not piecemeal but simultaneously on all four of the major devils that plague every emerging people: poverty* (social welfare), *disease* (medicine and public health), *illiteracy* (education), *civic inertia*

(community development). *Communism's most effective subversives, these must be exorcised before any lasting uplift can be accomplished.* [Ref. 22]

IVS defines community development as *a group of people working together to improve their lives* [Ref. 23] and describes community development as a *broad field* which *includes one or a combination of the following types of activity: general agriculture; agricultural credit; poultry and animal husbandry; plant experiment, propogation and distribution; range management; reforestation; irrigation; well-drilling; low-cost housing, sanitation and village improvement generally.* [Ref. 24]

In an address on the 25th Anniversary of the A.I.D. Advisory Committee on Voluntary Foreign Aid, the Most Rev. Edward E. Swanstrom of CRS defined *community development* as *a social process by which human beings can become more competent to live with and gain some control over local aspects of a frustrating and/or changing environment.* [Ref. 25]

While the emphasis on various development assistance categories by individual NGO's may vary slightly from country to country and time to time, the ranking of development assistance categories in Table 8 are generally applicable on a relatively universal basis. Many organizations, of course, by virtue of their sponsorship and/or basic philosophy and objectives, restrict their activities to one or another development assistance category (see section on Philosophy and Objectives below).

d. Scope of Activity: Geographic Distribution

In order to study the countries and areas of the world in which the NGO's in the study sample are involved in various aspects of international development assistance, and thereby gain some insight into which countries and areas of the world the study sample NGO's consider most receptive to, in most need of, and most important for, development assistance, the four geographic regions employed by A.I.D. and TAICH were applied. These four regions (Africa, the Far East, Latin

Fig. 11. Map Showing Extent of the Four TAICH/A.I.D. Geographic Areas and the Relative Location of the Trust Territory of the Pacific Islands.

America, and the Near East - South Asia) are listed in Table 9, which presents the total number of NGO's from the study sample active in each of the four geographic regions and also the number of study sample NGO's active *only* in each of the four regions. Figure 11 shows the location and extent of each of these areas and the relative location of the Trust Territory of the Pacific Islands (see Chapter III and Figure 26).

The development assistance interests and activities of the NGO's in the study sample are fairly evenly distributed between the four geographic areas, as shown in Table 9. Of the 34 NGO's in the study sample, 20-25 (approximately 59-74 percent) are active in some manner in each of the four areas. This distribution is even more equal if one considers that two organizations ICED and CODEL) provide consultative and evaluative services which directly involve international development assistance but which do not as yet require activity outside the continental United States (CONUS). Furthermore, the American-Korean Foundation (AKF) is active only in the Far East and four organizations (ACCION International, AIFLD, IDS, and the Kellogg Foundation) are (or were at time of last communication) active only in Latin America, either because of sponsorship or basic philosophy and objectives. If these 7 organizations are removed from the study sample and Table 9, then 20-22, or some 74-81 percent of 27 NGO's are active in each of the four geographic areas in Table 9.

Table 10 presents the distribution of the NGO's in the study sample by the number of geographic regions in which each is active in international development assistance. As indicated above, two organizations did not at the time of last communication have overt development assistance activity outside CONUS, while 13 or some 38 percent of the study sample are involved in development assistance operations in all four geographic areas in Table 9. As also indicated in the preceding paragraph,

Table 9

GEOGRAPHIC DISTRIBUTION OF
INTERNATIONAL DEVELOPMENT ASSISTANCE ACTIVITIES OF
U.S. NONGOVERNMENT ORGANIZATIONS

Geographic Region*	Number of Agencies	
	Active in This Region	Active *Only* in This Region
Africa	22	-
Far East	23	1
Latin America	25	4
Near East - South Asia	20	-

*See Figure 11.

Table 10

DISTRIBUTION OF U.S. NONGOVERNMENT ORGANIZATIONS BY THE NUMBER OF GEOGRAPHIC REGIONS IN WHICH THEY ARE ACTIVE IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Number of Geographic Regions	Number of Active Agencies	Percent of Total
*None	2	5.88
One	5	14.71
Two	9	26.47
Three	5	14.71
All Four	13	38.23
Total in Study	34	100.00

*Two organizations provide consultative and evaluative services which directly involve international development assistance but which do not (as yet) require activity outside the United States.

five NGO's, or some 15 percent of the study sample, generally limit their development assistance activities to one geographic region (Table 10).

As shown in Table 9, more of the study sample nongovernment organizations were conducting development assistance activities (at last communication) in Latin America than in any of the three other areas. Twenty-five organizations were active in Latin America (some 78 percent of the study sample NGO's with international operations), compared to 23 in the Far East, 22 in Africa, and 20 in the Near East - South Asia area.

Not only are more of the study sample NGO's active in international development assistance in Latin America than in the other areas of the world (Table 8), but more of the study sample NGO's are active in more Latin American countries than is the case in other areas of the world. This is shown in Figure 12, which shows the countries or areas in which the study sample NGO's have international development assistance programs and the number of organizations active in each country or area. Table 11 is a supplement to Figure 12, showing the number of study sample NGO's active in countries too small to be shown effectively on Figure 12. The countries which were studied or disclosed in this phase of the investigation are listed in Appendix F.

Fifteen of the study sample NGO's have current development assistance activities in both Brazil and the Philippines, as shown in Figure 12, while 52 countries have only 1-4 of the study sample NGO's conducting development assistance activities within their borders.

Many factors are involved in determining which organizations operate or are involved in which countries. For example, some organizations become involved in a country or area during or following an armed conflict or natural disaster, where *relief* leads to *development assistance*. Such motivation probably accounts for some of the concentration of development assistance

Fig. 12. Map Showing Countries and Areas in Which Study Sample Nongovernment Organizations Have Current International Development Assistance Programs, and Distribution by Number of Organizations Active in Each Country or Area.

Table 11

SMALL COUNTRIES AND ISLANDS IN/ON WHICH STUDY SAMPLE NONGOVERNMENT ORGANIZATIONS HAVE CURRENT INTERNATIONAL DEVELOPMENT ASSISTANCE PROGRAMS

Country	Number of Nongovernment Organizations Involved
Far East	
British Solomon Islands	1
Hong Kong	9
Macao	2
Ryukyu Islands	3
Singapore	5
Fiji	1
Africa	
Gambia	2
Mauritius	2
Seychelles	1
Near East-South Asia	
Maldive Islands	1
Latin America	
Bahama Islands	1
Barbados	4
Dominica	1
Grenada	1
Puerto Rico	1
St. Lucia	1
St. Vincent	1
Trinidad and Tobago	3
Virgin Islands	1

by study sample NGO's in Korea, Vietnam, Pakistan, Jordan, Nigeria, Peru, and Honduras. Some organizations are restricted by their founding charters or sponsors to activity within certain countries or areas, such as the AKF, AIFLD, the American Friends of the Middle East (AFME), the Asia Foundation, NEF, PADF, and CCNY, which must restrict its development assistance support to countries that were or are members of the British Commonwealth. Other factors will be discussed in following sections.

Eleven of the NGO's in the study sample indicated some level of development assistance activity in Europe (see Figure 12), although the European nations are not usually considered among the *underdeveloped* or *developing* nations of the world. Most of the European assistance is a continuation of the relief and development assistance which followed World War II and is now in the form of financial and/or operational assistance to local counterpart or other voluntary agencies; aid to or for refugees; and/or highly technical or specific assistance to industry, government administration, advanced education and/or professional training, many benefits of which will reach beyond the recipient nation. Similarly, five NGO's in the study sample indicated some level of activity in Japan.

3. Philosophy and Objectives

a. General

As indicated in previous sections, the 34 NGO's in the study sample vary widely in organizational structure, major source of support and basic philosophy and objectives. In fact, one of these factors may determine the others, as the major source of support may determine the organizational structure and the basic philosophy and objective and thereby the scope of activity. All of the NGO's in the study sample are basically *nongovernmental* and are involved at some level

in international development assistance. Furthermore, with the exception of IDS, which is a subsidiary of a commercial corporation, most of the NGO's in the Phase III study sample are non-profit *foundations* or *voluntary agencies*.

ACVA has defined a *voluntary agency* as *a non-profit organization established by a group of private citizens for a stated philanthropic purpose, and supported by voluntary contributions from individuals concerned with the realization of its purposes.* [Ref. 7, p. i] Similarly, the Foundation Directory prepared by the Foundation Library Center defined a *foundation* as *a non-profit organization having a single fund of its own, managed by its own trustees or director, and established to maintain or aid social, educational, charitable, religious or other activities serving the common welfare.* [Ref. 7, p. i]

b. Philosophy

For the most part, the NGO's seem to have developed sound doctrines and philosophies upon which their general objectives and even specific programs are based. These basic beliefs, some of which are more concisely articulated and well-documented than others, seem to focus primarily on various qualities and elements which the organizations consider important in the development of emerging countries, such as education, nutrition, leadership and other professional training, efficient government, self-help, international cooperation and understanding. *The concept of self-help* is *the importance of communities defining their own needs and developing their own solutions.* [Ref. 26]

Five of the NGO's in the study sample, all of which have close ties with one or another church or religious sect, cited religious concepts in their basic philosophy *as presented to the RTI research team.*

From an exemplary standpoint, the importance placed on education by the Kellogg Foundation has been cited previously. *To CARE it is basic that food assistance provides a vital contribution to the social and economic development* [Ref. 27], while the Ford Foundation has stated that *if a country is to develop, it must develop its people and its institutions.* [Ref. 28] The Asia Foundation has stated that *the purpose of external support should be the stimulation of indigenous capabilities and indigenous initiative.* [Ref. 29]

c. Objectives

Most of the NGO's have relatively clear, concise, broad formulations of functional general objectives for their organizations which govern their activities, as well as generally well-formulated and well-documented objectives for specific programs and projects. These clearly defined and stated objectives (1) leave little doubt in the minds of their staff, contributors or recipients as to the purpose(s) of the organization; (2) provide a basis for direction and efficient operation; and (3) provide criteria for evaluation which can play an important role in fund-raising, as indicated previously.

All of the NGO's in the study sample, as intimated previously, have as their major purpose some form of *international development assistance.* Nine of the NGO's in the study sample indicated that their primary development assistance involvement is direct *project operation* in the host country, as in providing technical advisors and volunteers (IVS). Seven of the NGO's in the study sample indicated that *their* primary involvement in development assistance is in the form of *financial or material support;* this group includes mainly the grant-making institutions and foundations, such as the Ford and Kellogg Foundations and CCNY.

Sixteen of the remaining 18 NGO's in the study sample indicated that they are involved to some degree in *both* project

operation and the provision of financial and material support for international development assistance. In the case of the Community Development Foundation (CDF) and Service Civil International/International Voluntary Service (SCI), the support aspect is apparently secondary to the operation aspect, while the reverse is true for the Rockefeller Foundation, whose project operation is limited to specific areas. The research team was unable to ascertain the exact roles of the remaining two NGO's.

As indicated previously, many organizations focus on only one type or category of international development assistance (Tables 7 and 8, Appendix E) such as agricultural cooperatives (ACDI), housing cooperatives (Foundation for Cooperative Housing, Inc.), education (AFME), labor unions (AIFLD), or industrial development and business administration (International Executive Service Corps). Other organizations such as CWS have a multi-faceted development assistance program. Furthermore, the organization's emphasis and approach to development assistance is usually reflected in the organization's stated basic objectives. For example, AFME *emphasizes the placement of graduate students undertaking study programs related to the national development needs of their respective countries.* [Ref. 30] *CARE's aim is to help the impoverished help themselves* [Ref. 31, p. 8] by adding *those things that will make them* (developing nations) *independent of such aid.* [Ref. 31, p. 5] *The Rockefeller Foundation, in its programs, seeks a continuous but changing balance in response to social evolution and the emergence of new challenges.* [Ref. 32, p. 8] *The objective of VITA is to provide technical information and assistance given by volunteer experts to the developing areas to the world (VITA International) and to disadvantaged areas at home (VITA USA).* [Ref. 33]

Frequently an organization's basic philosophies and system of program objectives are developed and presented in such close

association that separation is somewhat artificial. For example, CDF states *that community development is one of the most effective ways of helping people to change from despair to hope, through learning they can be useful, by acquiring practical skills, producing results, and finding a new self-reliant, cooperative way of life.* [Ref. 34] CDF further states that *community development is comprised of two basic goals: (1) the project goal--the development of specific community projects, and, (2) the process goal--the development of better relationships, communication, and leadership within the community.* [Ref. 35, p. 1] *The goal of the Community Development Foundation (CDF) is to help deprived people. . . to work together to better their own lives. Wherever communities can work together on self-help projects of their own choosing, the people do not give way to despair.* [Ref. 36]

Another clear, concise presentation of a well-developed system of philosophy, policy and objectives is that of World Neighbors (WN), which is shown in Appendix G.

In addition to the emphasis on development assistance, eleven of the study sample NGO's support significant programs in *emergency relief*. The role of such relief in the socioeconomic development of emerging countries is difficult to assess, but the importance of relief cannot be denied. For example, nutrition provided in an emergency situation contributes significantly to the development activities of an underdeveloped country [Ref. 37], and emergency situations may call attention to problems that lead to planning and improvement of sanitation or other health or educational facilities. While relief efforts can improve relations between the recipients and the providing agency, be it foreign or indigenous, governmental or nongovernmental, civilian or military, such relief efforts do not lend themselves well to planning, training, implementation and assessment techniques.

Several NGO's in the study sample, such as CARE, CRS and CWS, were organized to provide overseas *relief* during World War I or II and have since distinguished themselves in international *development assistance.* Similarly, *for many religious agencies, development assistance projects* developed as *a secondary function* or *by-product of their religious effort.* [Ref. 3, p. 13] Many such organizations, including again CRS and CWS, as well as Lutheran World Relief (LWR), have shifted much of their emphasis to this *by-product* which has become effective and productive. For example, CWS mounts development projects *which will enable those in need to develop their lives and their communities with new skills and which will bring dignity and hope to life.* [Ref. 38]

As Mr. Sy Rotter, Executive Director of PADF, stated in a speech before the Twentieth Century Club on January 7, 1971:

> *Development is far more than physical objects--roads, dams, factories, and schools. These are at best only environmental improvements. Development must be understood as a reflection of the attitudes of people, particularly in their belief in themselves and the realization of their capacity to participate in the direction of their struggle to achieve a higher standard of living for themselves. How they direct their struggle is, of course, for them to determine. Our concern is that they have at least the opportunity to understand and choose from alternatives.* [Ref. 39]

4. Personnel Policies

a. General

In studying the personnel policies of NGO's involved in international development assistance, consideration was first given to attempting to distinguish between personnel policies toward permanent staff based in CONUS and personnel policies toward temporary or overseas staff. However, as indicated

previously, some organizations have such a small staff and infrequent personnel turnover that no firm personnel policies have been established. The small size of some organizations requires most of their employees to be involved directly with international programs; therefore, separate personnel policies would be superfluous. Even some of the larger organizations have a small U.S. home office staff with only infrequent turnover so that detailed personnel policies have only been developed for those personnel serving in an international capacity. Only a few of the organizations, such as CWS [Ref. 38], CRS [Ref. 40], and IDS [Refs. 41 and 42] have developed detailed and documented personnel policies for both U.S. and overseas personnel; these personnel can be covered by completely separate policies or a general personnel policy with notation of exceptions to, or unique aspects of, U.S. or international assignment. Therefore, this section applies to all NGO personnel involved in international development assistance, unless otherwise specified.

In the section of their Operations Manual dealing with *Overseas Personnel*, CWS states that *the foundation of any organization is determined by the quality and commitment of its personnel. Personnel policies and practices accurately reflect the nature and purpose of an organization.* The CWS *personnel policies and practices are based on Christian dimensions and seek to provide for: the integrity of the individual staff member, the CWS program purposes and goals, and the interests of the host church or agency.* [Ref. 38, p. 36]

b. Recruitment

Of the 34 NGO's in the study sample, 24 or some 71 percent provided RTI with general information on sources of new personnel--*i.e.*, their methods of establishing contact with prospective employees and/or the organizations and institutions from which these individuals come or by whom they were last employed. Ten of these 24 study sample NGO's indicated that

they actively *recruit* new personnel through advertisements in newspapers and professional journals or visits to university campuses. Three NGO's indicated that they rely primarily on *referral* by member organizations, previous employees or other interested parties. The remaining eleven NGO's indicated that they employ some combination of recruitment and referral in acquiring new personnel. In fact, IDS indicated that they acquire almost exactly 50 percent by each means.

Twenty of the NGO's in the study sample provided specific information on their sources of new personnel--how the individual learned of the opening and/or the organization or institution from whence he came or by whom he was last employed. This information is summarized in Table 12, which shows that U.S. *Government agencies* as a group lead the categories as a source of personnel for NGO's involved in international development assistance. Of the Government agencies mentioned by the NGO's, the Peace Corps is the leading source of personnel. Comments by the NGO's implied that personnel obtained from or through the Department of State and A.I.D. are generally for employ on A.I.D. contracts.

As shown in Table 12, *universities* figure heavily as sources of personnel for international development assistance activities, being mentioned by 8 of the 20 study sample NGO's who provided information. The same number of NGO's (8) indicated that they rely heavily on a *Talent Bank* of applications on file and general *word-of-mouth* as sources of personnel. Other sources which were mentioned by at least 25 percent of the NGO's providing information were *member organizations* and *professional societies and journals*. Member organizations were mentioned as sources of personnel by NGO's who, for a large part of their financial and/or professional support, depend upon a consortium of trade associations (ACDI), labor unions (AIFLD), churches (CRS, CWS), or service organizations (YMCA).

Table 12

SOURCES OF PERSONNEL RECRUITED AND/OR REFERRED TO U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Source of Referral or Recruitment+	Number of Agencies Indicating Use of Source
U.S. Government Agencies	
Peace Corps	7
State Department/A.I.D.	3
VISTA	1
Universities	8
Applications on File (Talent Bank)	8
General *Word of Mouth*	8
Member Organizations	5
Professional Societies and Journals	5
Previous Employees	4
General Advertisements	3
Other Nongovernment Organizations	2
TAICH	1
VITA	1
State and Local Governments	1
Specific Personal Recommendation	1
Specific Church*	1
Total Providing Information	20+

+13 organizations indicated more than one source of personnel.

*The organization which indicated this as a major source was not a church-oriented organization.

Public Administration Service (PAS), an organization whose primary involvement in international development assistance is technical assistance to various levels of host government administration, indicated *state and local government* staff as a consistent source of personnel for their operations. Interestingly, Volunteers for International Development (VID), which was established to help create a U.N. volunteer system, receives many personnel referred by the *United Church of Christ.* [Ref. 43]

Of the 20 study sample NGO's who provided detailed information on sources of new personnel, 13 indicated more than one source (Table 12). In fact, IVS listed six different sources: the Peace Corps, VISTA, VITA, universities, word-of-mouth, and a talent bank. IVS was the only NGO in the study sample which provided RTI with information on problems in recruiting; expansion of IVS community development activities in Southeast Asia have been limited in part due to *difficulties of recruiting among a constituency not favorably disposed to U.S. policies* in Southeast Asia and *the absence of suitable assignments.* [Ref. 12, p. 21]

The Phase I literature search revealed that, *in the recruiting of personnel* for an experimental development project in Barpali, India, *the American Friends Service Committee* (AFSC) *attempted to strike a balance between the two extremes* of service-oriented generalists and scientifically trained specialists. [Ref. 44, p. 48] Recruiting of Western personnel was difficult because of the unwillingness of competent technicians to give up their normal occupations even for two-year terms of service. [Ref. 44, p. 40] Western staff were ordinarily (1) young men seeking overseas experience as a part of their studies or as preparation for a profession; (2) conscientious objectors to military service performing an alternative service obligation; and/or (3) older couples at or near the age of retirement from their ordinary occupation. The project directors, on the other hand, were service-oriented professionals.

Interestingly, four of the study sample NGO's *other than IVS* indicated that, as part of their basic philosophy, they offer service with their organization as *an alternative to military service;* three of these organizations are involved in international development assistance of some type in Southeast Asia.

c. Selection Procedures

Of the 34 NGO's in the study sample, 18 provided RTI with detailed information on their personnel selection procedures. This information is summarized in Table 13, which presents the number of study sample NGO's indicating utilization of each type of selection procedure, the number specifying no use of the procedure, the number ranking the importance of the procedure, and the average rank importance of the procedure *from the rankings provided by organizations.*

Six organizations gave some relative rank to the procedures, indicating some degree of emphasis or importance. In this instance, the relative importance of the procedure decreases with increasing number; that is, a rank of *1* indicates most important, *2* less important, etc. Both from the standpoint of *ratings by organizations which provided ratings* and *overall rank by the number of organizations indicating use of the specific personnel selection procedure,* the *application* and the *interview* are the most important and consistently used procedures. Table 14 presents the relative rank importance of the selection procedures both from the ratings by those organizations which rated them and by the number of organizations indicating use of the procedure.

Again, the absence of a positive response does not thereby indicate a negative response, as open-ended questions were generally used (Appendix C) in order not to *lead* the respondents. For example, most of the NGO's in the study sample require some type of formal application, but only eight specified the *application* as an important part of their personnel selection

Table 13

PERSONNEL SELECTION PROCEDURES EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Personnel Selection Procedure+	Number of Agencies			Average Rank
	Indicating Use of Procedure	Indicating No Use of Procedure	Ranking Priority of Procedure**	
Application*	8	1	2	1
Interview	15	-	6	1.3
Testing	5	-	-	-
Psychological	2	-	-	-
Language	2	-	1	3
Unspecified	1	-	-	-
Home Visit	1	-	-	-
Background Research	2	-	1	3
References	5	-	3	2.7
Subjective Opinion	1	-	-	-
Total Providing Information	16	2δ	6	-

*Most organizations employ some form of application, but only 8 of 34 specified the application as an important part of their selection process.

+Most organizations use some combination of the procedures listed.

**Priority ranked with *1* being most important, *2* less important, etc.

δOne organization indicated specifically *no standard selection procedures.*

Table 14

RELATIVE RANK IMPORTANCE OF PERSONNEL SELECTION PROCEDURES EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Personnel Selection Procedure	Relative Rank*	
	From Ratings By Agencies	By Number of Agencies Indicating Use of Procedure
Application	1	2
Interview	2	1
References	3	3
Language Testing	4	4
Background Research	4	4
Psychological Testing	-	4
Home Visit	-	7
Subjective Opinion	-	7

*Rank: decreasing importance with increasing number.

process. Only two organizations indicated the relative priority or importance of the application in their overall selection process, and both rated the application as *most important* (Table 13).

Similarly, 15 of the study sample NGO's indicated that the *personal interview* is an important part of their selection process with an average importance or priority ranking of 1.3 by the six organizations which rated it (Table 13). The most thorough and complete set of Application/Interview Forms were provided RTI by CRS. These forms, presented as Appendix H, include the *Application for Employment; Supplemental Employment Information;* a checklist of points to be covered in the interview regarding the applicant's experience, health, and personal characteristics; an *Interview Rating* checklist *of* the applicant's *Personal Characteristics;* and checklists for the overall selection process.

One organization stated that they have never hired anyone who applied for a job while another indicated that they have no formal or standard selection process (Table 13). Generally, however, the RTI research team was impressed by the meticulous care which most of the NGO's exercise in selecting their personnel. NEF even attempts to visit in the home of the applicant to better assess his family's attitude and his personal characteristics. Five of the study sample NGO's indicated the use of *language* or *psychological testing* as part of their selection process, although AFME has stated that *at present there is no reliable means of measuring language learning aptitude.* [Ref. 45, p. 5]

In discussing the selection of personnel for employment on U.S. Government-supported contracts, John Gardner stated that *interminable delays in security clearance for nonsensitive jobs are inexcusable.* [Ref. 46, p. 27] At the other extreme, IIRR indicated that their selection process is primarily one of *subjective opinion* based on the personal interview. Thirteen of the study sample NGO's indicated use of more than one of the procedures listed in Tables 13 and 14.

Fifteen of the study sample NGO's indicated that they employ host country nationals on the local level in relatively large numbers. The Phase I literature search revealed the following steps employed by AFSC in the selection of the first village workers for the Barpali experiment:

1) Publicity in local newspapers invited those interested in participating as village workers to write for further information.
2) All who responded were sent questionnaires on which to enter personal information, details of education, and previous experience.
3) Completed questionnaires were screened to choose candidates for a *preselection course*, composed of a series of tests to determine the suitability of their abilities and aptitudes for village work.
4) Final selection was based on these tests and on personal interviews by each member of the project technical staff.[Ref. 44, pp. 107-110]

The same system of recruiting was used for the selection of subsequent village workers, though modified in some details. Preselection tests were essentially the same, though some were modified or replaced.[Ref. 44, p. 117]

d. Selection Criteria

Thirty-one, or some 91 percent of the 34 NGO's in the study sample provided the RTI research team with relatively explicit information on specific criteria which are applied by them in selecting personnel. Furthermore, 20 of the study sample NGO's rated the priority or relative importance of the criteria applied by them. This information is summarized and presented in Table 15, which shows the criteria mentioned by the study sample NGO's, grouped into certain general categories; the number of organizations indicating application or specific nonapplication of the criterion; the number of organizations providing a priority rating of the criterion; and the average rating *from the ratings provided by organizations.*

Table 15

PERSONNEL SELECTION CRITERIA APPLIED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Criterion	Number of Agencies			Average Priority Rank+
	Indicating Use of Criterion	Indicating No Use of Criterion	Ranking Priority of Criterion	
Background and Experience				
Background Research	2	1	-	-
International Experience	9	-	4	1.25
Job Competence	19	-	9	2.33
Professional Experience	20	-	9	1.56
References/Recommendations	5	-	-	-
Education and General Knowledge and Aptitudes				
Education	15	-	7	2.57
Degree	9	1	4	2.50
Knowledge of Specific Techniques	1	-	1	4.00
Language Aptitude	14	2	8	3.44
Knowledge of Area	4	-	2	2.00
Multidisciplinary, Broad Interest	5	-	3	3.67
General Attitudes, Attributes, and Abilities of Candidate				
Ability to Withstand Cultural Shock	11	-	3	3.00
Basic Beliefs				
Christian	1	-	1	1.00
Catholic	1	-	-	-
Dedication to Humanity, Compassion	10	-	2	3.50
Motivation, General Character	11	-	5	2.80
Unspecified	4	-	-	-
Desire for Professional Advancement	1	-	1	3.00
Courage, Sense of Adventure	3	-	2	4.00
Adaptability, Creativity	10	-	3	1.33
Ability to Communicate	8	-	3	2.00
Humility	1	-	1	2.00
Maturity	1	-	1	2.00
Compatibility	8	-	4	2.50
Attitude of Family of Candidate	5	-	3	3.33
Demographic Characteristics of Candidate				
U.S. Citizenship	2	1	-	-
Good Health	5	-	2	5
Sex	-	5	5	*
Age	3	3	3	2.00
Race	-	4	4	*
Specific Individual Sought	5	-	1	3.00
Specific Slot Available	7	-	2	2.00

+Priority ranking: decreasing importance with increasing number.

*Should not be a criterion.

As indicated previously, however, this rating system can produce obvious discrepancies, depending on which criterion is being considered and by which organization. For example, as shown in Table 15, only one organization indicated that they require their personnel to be *Christians* and they ranked this criterion of prime importance, making this the only criterion with a rating of 1.0, or the highest priority ranking. Therefore, Table 16 compares, for each criterion, the relative rank from *the ratings provided by the NGO's* (from the last column of Table 15) with the relative rank *by the number of NGO's indicating application of the criterion whether they ranked it or not.* Therefore, as shown in Table 16, an individual's *professional experience,* which ranked fourth among the criteria according to the ratings provided by NGO's in the study sample (an average rating of 1.56 in the last column of Table 15), but which is considered by more organizations (20) than any other criterion, emerged as the most important single criterion to be considered in selecting personnel for work involving international development assistance. Similarly, the requirement that the individual profess to be a Christian drops to an average priority ranking of 19, since only one organization indicated application of the criterion, even though that organization rated such beliefs of prime importance (Tables 15 and 16).

The personnel selection criteria employed by the NGO's in the study sample are discussed in the following paragraphs by their apparent average priority (from the last column of Table 16) within the general categories presented in Table 15. The average priority rank from Table 16 is shown in parentheses.

1) Background and Experience

   a) *Professional experience (1):* As indicated above, professional experience is apparently the single most important criterion considered overall by U.S. NGO's in the study sample in selecting

Table 16

RELATIVE RANKING OF PERSONNEL SELECTION CRITERIA

Criterion	Relative Ranking		Average Rank*
	Rating by Organizations	Rank by Number of Organizations Using Criterion	
Basic Belief - Christian	1	25	19
International Experience	2	9	3
Adaptability, Creativity	3	7	2
Professional Experience	4	1	1
Ability to Communicate	5	11	7
Specific Slot Available	5	13	8
Knowledge of Area	5	19	16
Age	5	21	19
Humility	5	25	22
Maturity	5	25	22
Job Competence	11	2	4
Degree	12	9	11
Compatibility	12	11	13
Education	14	3	6
Motivation, General Character	15	5	10
Ability to Withstand Cultural Shock	16	5	11
Specific Individual Sought	16	14	22
Desire for Professional Advancement	16	25	28
Attitude of Family	19	14	25
Language Aptitude	20	4	16
Dedication to Humanity, Compassion	21	7	21
Multidisciplinary, Broad Interest	22	14	26
Courage, Sense of Adventure	23	21	29
Knowledge of Specific Techniques	23	25	30
Good Health	25	14	27
References/Recommendations	-	14	4
Basic Beliefs - Unspecified	-	19	9
Background Research	-	23	13
U.S. Citizenship	-	23	13
Basic Belief - Catholic	-	25	18

*Rank: Decreasing Importance with Increasing Numbers

personnel for employment involving international development assistance. This explains in part why professional societies and journals figure significantly as sources for new personnel recruited for international development assistance (Table 12).

b) *International experience (3):* Nine of the study sample NGO's indicated application of this criterion in selecting personnel; four organizations rated this criterion with an average rating of 1.25--all four organizations rated it first or second. This emphasis on preferring personnel with previous work and/or educational experience outside of CONUS explains in part the importance of the Peace Corps as a source of new personnel for international development assistance (Table 12).

c) *Job competence (4):* The NGO's seem to be seeking more personnel with demonstrated experience and/or training in a particular technical skill or field, as evidenced in part by the appearance in Table 12 of VISTA, professional societies and journals, TAICH, VITA, and specific sources like State and local governments as sources of personnel. Nineteen organizations indicated that they apply this criterion and nine rated its priority ranging from first to third with an average of these ratings of 2.33 (Tables 15 and 16). This requirement for more skilled overseas personnel prompted the following remarks in an IVS evaluation report:

> *Volunteer groups are meeting new skepticism about their effectiveness. The B.A. generalist, indispensable to any U.S. volunteer program seeking to field large numbers, is viewed as having*

few useful skills. Offerings of such volunteers are no longer accepted unquestioningly as frequently happened in the past. The developing world has become more sophisticated about the programming of volunteers and seeks primarily those with the skills and will to become part of national programs. The number of volunteers that can be provided is limited by the high skill requirements imposed by receiving countries and the scarcity of people with the requisite skills in the U.S. and world voluntary service pool. [Ref. 12, p. 4] *Receiving countries are reluctant to accept generalist volunteers.* [Ref. 12, p. 37]

This emphasis on skilled volunteers for international development assistance and the trend away from the B.A. generalist also explains in part the importance of *education (and training)* as a personnel selection criterion (see below).

d) *References/recommendations (4):* Five organizations indicated that they rely heavily on an individual's references and/or recommendations for indication and/or verification of the person's experience, skill, aptitude and character.

e) *Background research (13):* Only two organizations indicated that they delve into a prospective employee's background as presented on his application or revealed in the interview, and neither rated the relative importance of this criterion (while rating others). CDF indicated that *background is not a decisive factor* in determining the desirable qualities of a community development worker.[Ref. 47, p. 1]

2) Education and General Knowledge and Aptitudes

a) *Education (6):* As indicated in the preceding section, organizations involved in international development assistance are interested less in the B.A. generalist and more in persons with education or training in a particular field or skill. From the relative importance of development assistance categories presented in Table 8, the skills in most demand would be those related to *education* (teaching); *community development; food production and agriculture; cooperatives and credit unions;* and *medicine and public health.* Fifteen NGO's mentioned education as an important criterion and seven rated its relative importance or priority (Table 15); the range of ratings was 1-5. CWS indicated that the education requirement varied with the nature of the development assistance activity. The importance of education as a selection criterion probably explains in part the importance of universities as a source of personnel (Table 12).

b) *Degree (11):* Nine of the NGO's in the study sample indicated that they prefer persons with some academic degree; four rated its relative importance. Some development assistance activities, such as the practice of medicine, require a specific academic degree, but the average priority rank of *degree* being lower than that of *education* implies that NGO's involved in international development assistance are more interested in an individual's demonstrated proficiencies or potential capabilities than the possession of a specific degree *per se.* CDF indicated specifically that they do not require a degree.

c) *Language aptitude (16):* There is some controversy over the importance of language in international development assistance. Of the NGO's in the study sample, 14 indicated that they prefer some language ability or aptitude of prospective employees, and eight rated the relative priority of this criterion, while two organizations indicated that language is not a consideration in selecting new personnel. Some organizations require language aptitude for work in certain countries where the language is relatively basic and constant, such as Spanish in Latin America or French in West Africa, but do not require language aptitude for work in countries where the language is remote, unusually difficult, or varies greatly within a small area, as in Southeast Asia. PAS, where a language requirement is equivocal, feels that *job and language are generally too much to expect of an individual.* [Ref. 48]

d) *Knowledge of the/a host country area (16):* Knowledge of the/a host country area in which an organization is active in international development assistance, and for which an organization is seeking personnel, was mentioned as a personnel selection criterion considered by four organizations in the study sample of which two provided a priority rating (Table 15).

e) *Multidisciplinary, broad interests (26):* As indicated in a preceding section, the B.A. generalist is in considerably less demand as an employee in international development assistance, which probably explains in part the apparent relatively low priority given this characteristic

by the NGO's in the study sample. Five NGO's indicated this as a criterion which they consider in selecting personnel; three provided a priority rating ranging from 2-5.

f) *Knowledge of specific technique (30):* Despite the trend away from the B.A. generalist, only one organization was so specific as to indicate that they prefer individuals with knowledge of a specific technique, in this case adult education, which was rated fourth in priority.

3) General Attitudes, Attributes, and Abilities of Candidate

With regard to this general category, CWS, in the *Overseas Personnel* section of their Operations Manual, states that *such intangibles as attitudes, openness to new perspectives, tolerance for ambiguity, self-awareness and sensitivity to the host culture and situation, as well as host colleagues, will actually define the contributions that can be made, and the personal satisfaction derived in the fulfilling of the assignment.* [Ref. 38, p. 37]

a) *Adaptability, creativity (2):* In terms of the number (10) of organizations that indicated that this is a desirable attribute in prospective personnel, and the high rating given it by those organizations which rated its priority or importance, this criterion for selecting personnel appears to be second only to professional experience (using the crude methodology outlined earlier in this section). As presented in Table 15, three organizations rated the importance of this criterion/attribute; the range was first or second, with an average rating of 1.33.

b) *Ability to communicate (7):* Eight of the NGO's in the study sample indicated that an individual's

ability to express himself and make himself understood are necessary requirements for work in international development assistance.

c) *Basic beliefs (9-21):* This category is a *catch-all* for general attitudes expressed by the applicant in his application or in the personal interview and mentioned by the NGO's in the study sample as important considerations in selecting personnel--*unspecified* (by the NGO) *basic beliefs (9), motivation (10),* religious philosophy (18, 19), and *dedication to humanity (21).* The inclusion here of some of these attitudes may be considered arbitrary. Four organizations indicated that an individual's *basic beliefs* were important considerations in employment, but did not specify what these beliefs were and did not rank or rate the priority or importance of this criterion. *Note: When data were absent, inadequate or inconclusive, attempts were made by mail and/or telephone follow-up to fill the deficiency; such follow-up attempts have, however, been only intermittently successful.* As indicated previously, CWS indicated that a *Christian* philosophy *(19)* is a primary consideration; CRS indicated that they prefer individuals of the *Catholic* faith *(18),* but this is not an absolute requirement. [Ref. 49] Eleven organizations indicated that they consider an individual's expressed *motivation* and demonstrated general character as important attitudes in prospective employees, and ten NGO's in the study sample attached similar importance to an applicant or candidate's expressed *dedication to humanity* and compassion, but few of the organizations which rated the priority or importance

of these attitudes did so highly, as indicated in Table 15. The range of priority ratings was 1-6. *Dedication to humanity* received no ratings of *1*, while *motivation* was rated of prime importance by only two of the five organizations which rated that attitude criterion; these were IVS and VID, both organizations which are heavily volunteer-oriented.

d) *Ability to withstand cultural shock (11):* Eleven of the NGO's in the study sample indicated that, in selecting personnel to work in international development assistance, they seek some evidence that the individual can adjust to work effectively and efficiently amidst alien customs, language, and living arrangements. Two of the three organizations which rated it did so second only to international experience in both cases; the third organization rated this ability fifth.

e) *Compatibility (13):* Eight of the NGO's in the study sample indicated that an individual's ability to get along with others, as determined by his work record and references, are necessary requirements for work in international development assistance (Table 15).

f) *Humility (22):* One organization indicated that an individual should have some degree of humility in order to be effective in international development assistance.

g) *Maturity (22):* One organization indicated that they prefer mature individuals for work in international development assistance.

h) *Desire for professional advancement (28):* One organization indicated that they like for prospective employees to express a *desire for professional*

advancement, but ranked this attitude third in importance behind *motivation* and *dedication to humanity*.

i) *Courage and sense of adventure (29):* Three organizations indicated that they like to have individuals being considered for assignment in international development assistance to express or have demonstrated *courage and a sense of adventure*. The two organizations that rated the priority or importance of this attribute both rated it fourth behind such other criteria as *motivation, adaptability, job competence, dedication to humanity,* and *desire for professional advancement*.

4) *Attitude of Family of Candidate (25):* Five of the NGO's in the study sample indicated that, in selecting personnel for work in international development assistance, they consider the attitude of the candidate's family, particularly his spouse, toward such an assignment, as the family strongly affects the individual's environment and can make an important contribution to the overall effort. The family's attitude is usually determined by a visit in the candidate's home (Table 13) or in an interview with the spouse. Three organizations rated this criterion as 3rd, 4th, and 6th, respectively.

5) Demographic Characteristics of Candidate

On the subject of the candidate's general demographic characteristics, such as nationality, age, race, sex and marital status, CWS, in the *Overseas Personnel* section of their *Operations Manual*, states that, *in addition to the unique and intangible personality characteristics of each of our overseas personnel* (discussed in section 3 above), *minimum standards must be met in professional*

qualifications (discussed in sections 1 and 2 above), *in physical and emotional health, in social sensitivity as regards interpersonal relationships, cultural factors and social issues, and a desire to work under church sponsorship because of an affirmation of a Christian faith which is unique and personally meaningful* (discussed in section 3 above).[Ref. 38, p. 36]

Similarly, IDS states in their Regular Personnel Handbook that *any qualified person, regardless of national origin, sex, marital status, race, creed, or age may be considered for employment.*[Ref. 41]

a) *U.S. citizenship (13):* Two organizations in the study sample indicated that they require that prospective employees be U.S. citizens (Table 15), while IDS clearly states that *U.S. citizenship is not required as a condition for employment.*[Ref. 42, p. 2] In fact, seventeen of the study sample organizations indicated the presence of host country or third country nationals on their payroll.

b) *Age (19):* This is a difficult criterion to assess, as three organizations indicated *age* as an important consideration in hiring an individual to work in international development assistance, while three indicated no use of *age* as a personnel selection criterion (although one of these three indicated *maturity* as a personnel selection criterion--of course, age and maturity are not necessarily synonymous). Furthermore, the three NGO's which indicated that *age* is an important consideration, did not agree on the *age* range--one NGO preferred individuals less than 25 years of *age*, one preferred individuals over 21 years of *age*, and one preferred individuals in the *age* range 21-70 years.

Age probably should not be a personnel selection criterion as it is not necessary when one considers other criteria such as *professional experience* and *education* which will significantly help to determine a qualified individual's *age*. International Executive Service Corps (IESC) usually uses retired professional people as volunteers.

c) *Good health (27):* This criterion is generally important, but especially so when the individual is older and/or being considered for overseas assignment. Five organizations in the study sample indicated the application of this criterion; the two that rated its importance did so 7th and 3rd, respectively.

d) *Sex:* Sex should not be employed as a personnel selection criterion in international development assistance; the only five NGO's who mentioned *sex* as a criterion indicated that they did *not* consider the *sex* of the individual (Table 15).

e) *Race:* This should also not be employed as a criterion for selecting personnel to work in international development assistance. The only four organizations that specifically mentioned *race* in this regard indicated that the *race* of an individual is not a consideration (Table 15).

6) *Specific Individual Sought (22):* In keeping with the aforementioned trend away from the B.A. generalist, five organizations indicated that they attempt to recruit a *specific individual*.

7) *Specific Slot Available (8):* Similarly, seven of the NGO's in the study sample indicated that they do not consider hiring new personnel unless there is a *specific slot* or position *available* which they then attempt to fill. This procedure, of course, has obvious ramifications in the resultant personnel selection criteria applied.

Table 17 presents a list of the personnel selection criteria discussed here in order of their average rank as presented in the last column of Table 16. Very few of these criteria are exclusive determinants in themselves, but many are directly or indirectly related to others. The only three NGO's which did not provide RTI with information on their personnel selection criteria were two major grant-making institutions and one organization which serves primarily in an advisory capacity.

e. Period and Terms of Employment

Ten of the NGO's in the study sample provided RTI with relatively specific information on the usual terms of employment of their *special duty personnel*--volunteers, and other temporary duty overseas personnel working on specific programs, projects and contracts. The average duration of such overseas assignment among these ten organizations was 25 1/2 months; the extremes of the range were three months in the case of IESC and three years in the case of CWS.

Two organizations indicated the duration of the overseas assignment depends upon the duration of the project or contract. According to PAS, the standard two-year tour was set by A.I.D., but the actual length of time overseas is adapted to the project. [Ref. 48]

According to IVS, an estimated 37 percent of their special duty personnel in Southeast Asia remain in the field less than the agreed time.[Ref. 50] On the other hand, an average of figures supplied by four study sample NGO's implies that some 50 percent of such special duty personnel remain in the field for longer than the time originally agreed upon. Only four organizations specifically indicated the existence of a formal contract arrangement with their personnel.

The term *special duty personnel* is used here because there is not uniform agreement on the definition of the term *volunteer* in terms of selection criteria, job description, or compensation.

Table 17

PERSONNEL SELECTION CRITERIA EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

	Average Rank of Priority or Importance
Professional Experience	1
Adaptability	2
International Experience	3
Job Competence	4
References	4
Education	6
Ability to Communicate	7
Specific Slot Available	8
Basic Beliefs	9
Motivation	10
Degree	11
Ability to Withstand Cultural Shock	11
Compatibility	13
Background Research	13
U.S. Citizenship	13
Knowledge of Area	16
Language Aptitude	16
Catholic Faith	18
Christian Faith	19
Age	19
Dedication to Humanity	21
Humility	22
Maturity	22
Specific Individual Sought	22
Family Attitude	25
Multidisciplinary	26
Good Health	27
Desire for Professional Advancement	28
Courage, Sense of Adventure	29
Knowledge of Specific Techniques	30

Source: Table 16

For example, many of the *volunteers* of SCI and some of the church-affiliated organizations are true *volunteers* in that they are not compensated for their time or services. The *volunteers* of IVS, on the other hand, receive a subsistence salary, whereas the *volunteers* of IESC are generally retired executives who are reimbursed for expenses but receive no other compensation. Sixteen of the NGO's in the study sample indicated the use of some type of volunteers or other temporary duty overseas personnel.

Three of the organizations in the study sample provided RTI with relatively specific information on the usual or agreed minimum and maximum periods spent overseas by *all personnel*. The average time spent outside CONUS by all personnel of these three NGO's is approximately 3 years; the range is 1-5 years.

f. Training

U.S. nongovernment organizations involved in international development assistance conduct two general types of training programs. One type of training program, and the one which will be discussed in this section, involves the training of *project personnel employed by the NGO's* for work in international development assistance. The other type of program, which will be discussed in the section dealing with *Project Operations*, concerns the teaching or training of *host country nationals* for general education, to increase the host country's manpower in a specific field, or to train technicians to eventually assume control of, and responsibility for, the project or program.

Furthermore, training of NGO personnel for work in international development assistance may consist of *intramural* programs or *extramural* programs or programs which include both. Intramural programs are those which are conducted within the organization and/or facilities of the NGO, while extramural programs are conducted outside the organization and facilities of the NGO, much as the Peace Corps utilizes the resources of universities in their programs (see Chapter III).

1) Intramural Training Programs

Of the 34 NGO's in the study sample, 25 or some 73.5 percent indicated the employment of some sort of *intramural* training program for personnel, especially those involved in international development assistance. Table 18 lists the various training methods and techniques specified as used by these 25 NGO's, the number of agencies indicating utilization of the specific method or technique, and the percent of the total study sample which this number represents. Four of these organizations indicated that they actually have no formal training program, but indicated which methods and techniques they employ when necessary. The emphasis placed on professional and international experience, job competence and education (Table 17) tends to obviate extensive training programs. In fact, many organizations tailor such training quite specifically to the qualifications of the individual or the requirements of the assignment, as indicated in the following excerpts from the *Overseas Personnel* section of the CWS Operations Manual:

> *Such factors as the nature of the assignment, the previous training and experience of the appointee, availability dates of the appointee, field schedules and availability of special program resources will help to define the program of pre-field preparation.*
>
> *The details of orientation and preparation will be worked out by the preparation program coordinator in the Overseas Personnel Section and the plan and schedule will be presented and reviewed with the appointee when he reports for duty.*
>
> *The pre-field preparation stresses the assumption and expectation that qualified personnel will be open to, and expect of themselves, continued personal growth and development. It indicates that opportunities*

Table 18

TRAINING METHODS EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Training Method	Number of Agencies Using Method	Percent of Total
Orientation Session	17	50.00
Language Training	10	29.41
U.S.	5	14.71
Host Country	8	23.53
Both U.S. and Host Country	3	8.82
Short Courses	3	8.82
Host Country Training Center	11	32.35
On-the-Job Training	14	41.18
In-Service Training	6	17.65
Annual Seminar/Orientation Session	5	14.71
Special Techniques		
Development of Individual Goals	2	5.88
Educational TV-Video Tape	1	2.94
Film Strips	1	2.94
Single Concept Training Unit	1	2.94
Total Providing Information	25	73.53

for personal growth and development will be provided by CWS in the interests of equipping overseas personnel to better fulfill their assignments. The continuing education and equipping of overseas personnel during in-service and furlough periods is affirmed, and such programs can be defined, as appropriate in specific instances, through the initiative of the appointee, the area secretary or the overseas personnel secretary.

Because pre-field preparation deals with persons and their attitude, it is the most important and also the most difficult aspect of preparation for overseas service. Awareness of one's self-image, self-expectation, the self as seen and felt by others, the self as formed by one's own culture and society must be given serious attention. Sensitivity to others, interpersonal relationships, how groups function, must be felt as well as understood. Culture-crossing, cultural shock, openness--in actuality as well as self-image--to the host culture, host nation, host agency must be exposed as of basic and continuing importance. The expediting of communication so that more communication actually happens is the goal for which we reach. Openness, sensitivity, flexibility, are desired characteristics. An experience-centered think-feel approach to personal growth will be a major method. Achievement will not be as important as will be a new sensitivity and alertness to the possibility and importance of continual growth as a person. The more a person is freed to make fuller use of his capacities, the more and better will he serve himself, the host situation, and the match-making DOM (Division of Overseas Ministries). [Ref. 38, pp. 36,37,40]

As is evident in Table 18, most organizations employ more than one type of method or technique in some mix in their intramural training programs. For example, *three types of training stand out* in the WN program: *Initial training gives new field workers practical ideas for community development. Refresher courses are conducted periodically, sometimes as often as every three months. Here, field workers discuss mutual problems and possible solutions. In-service training involves World Neighbors team leaders who work with and teach field workers in their communities.* [Ref. 51, p. 8]

The training techniques or methods mentioned most often by the study sample NGO's as used in training personnel for work in international development assistance are, perhaps predictably, those which would most adequately complement education and experience, namely a general but short *orientation session, language training,* and *on-the-job training* (see Table 18). Along these same lines, 11 or some 32 percent of the study sample maintain training centers in the host country area.

Half of the study sample indicated the use of some sort of *orientation session* for personnel about to enter development assistance work, although the length and structure of the session varied among the NGO's. In some cases the orientation session is informal and unstructured and lasts only one or two days; in other cases this orientation session is more formal and structured and lasts for a week or two, utilizing visual aids and other training tools.

A primary element of many NGO training programs, as in the case with the Peace Corps, is the study of the language of the host country area. The Phase I literature search revealed the emphasis placed on language by AFSC [Ref. 44]. Ten of the NGO's in the Phase III study sample indicated that *language training* is an important part of

their training program for personnel for international development assistance assignment. Five of these NGO's conduct this language training in the U.S., eight carry out their language training program primarily in the host country, and three NGO's in the study sample indicated that language training begun in the U.S. is continued in the host country, as will be seen with the Peace Corps in Chapter III.

Technical training varies considerably as many NGO's recruit highly trained and competent specialists from the outset, as discussed in the preceding section on personnel selection. Nonetheless, 14 of the study sample NGO's advocated some sort of *on-the-job training* to facilitate the individual's adjustment to local working conditions and the requirements of the particular project or program.

Three of the NGO's in the study sample indicated the use of specific *short courses* on various aspects of international development assistance as part of their orientation sessions or more formal training programs. Among the more structured formal training programs utilizing both short courses and visual aids is that of CDF.

In its training program, CDF uses *educational television* and *video tapes* and has developed short courses on various aspects of international development assistance, particularly community development, called *Single Concept Training Units* [Refs. 34,35,47,52-54]. The RTI research team was impressed with the concise clarity of these Units, which are updated and revised as necessary, and can be studied as correspondence courses. According to Glen Leet, Executive Director of CDF, *effective local leadership and democratic participation are basic to meaningful community progress. The Foundation's training program stresses this difficult job of motivation and orientation.* [Ref. 36]

The training programs and facilities of many NGO's, including those of CDF, are utilized by host country agencies, U.S. Government agencies, and personnel of other NGO's. For example, CARE supplied family planning demonstration kits to the Tunisian Ministry of Public Health in 1968 for use by family planning personnel and U.S. Peace Corps volunteers; prior to receiving a kit the workers completed a training course in family planning education. [Ref. 55, p. 3]

As indicated previously, the mix of methods and techniques in a training program, and the structure of that training program, varies widely among the NGO's in the study sample. One effective approach appears to be a combination of structured orientation followed by a period of on-the-job training followed by a final period of formal training, much like the general program of the Peace Corps (see Chapter III). One such approach by an NGO is the following description of the training of indigenous personnel for the AFSC Barpali community development project from the Phase I literature search. These village workers were trained according to the following schedule:

a) First training course

   i) Initial three-week *orientation* in approach to, and basic methods of, village work to prepare workers for initial period of adjustment to villages; most of the instruction was in basic techniques in *agriculture* and *public health*. [Ref. 44, p. 112]

   ii) One month of *on-the-job training* in assigned villages under close supervision of the technician staff; during this period, project technicians made frequent visits to village workers and gave personal instruction and assisted in solving problems of work and adjustment. [Ref. 44, pp. 112,114]

iii) A final one-week *training course*, consisting of discussions of experiences in the villages during the month of *on-the-job training* together with additional instruction in agriculture and public health.[Ref. 44, p. 115]

b) Second training course

i) The *training course* was later modified to last four weeks, allowing more time for recreation, special projects, and group activities. Fewer hours were devoted to instruction than in the earlier course; trips to centers of interest and villages in the Barpali district were included. In the final week, the first group of village workers took part in advising trainees on making adjustments in the villages and on beginning work.

ii) Again, a month of *on-the-job training* was followed by a week of additional theoretical and practical training.[Ref. 44, pp. 117, 120,123]

c) Refresher training

i) At first, *refresher training* was scheduled for three days every three weeks; this was later changed to three days a month.

ii) In addition, annual two-week study trips were conducted on which village workers wrote *study outlines*.[Ref. 44, pp. 126,132]

As presented in Table 18, five of the NGO's in the study sample indicated the use of an *annual seminar/orientation session*, while six NGO's in the study sample maintain a program of *in-service training* to keep their staff informed and up-to-date. Two organizations indicated the use of

both techniques, since the seminar/orientation session is an annual function while in-service training can be a continuous activity. In the description of training in the Barpali experiment referred to above, AFSC refers to in-service training as *refresher training*. According to IVS, *three points should be made about the value of in-service training: (1) it can be made specific rather than general, (2) the participant has field experience to which he can relate the training, (3) it enables IVSers to sharpen their skills and interests not only for the IVS program, but for their own careers.* [Ref. 56, p. 15]

2) Extramural Training Programs

Of the 34 NGO's in the study sample, 15 or some 44 percent indicated the use of some *extramural* facility as part of their training program for personnel to work in international development assistance. Table 19 summarizes information obtained during Phase III regarding these extramural training facilities. Eight of the organizations provided specific information regarding the utilization of such extramural training facilities, while six NGO's in the study sample were not so specific or the utilization of such facilities was inferred from literature supplied by the organization (Table 19). Only two organizations made specific mention of utilization of more than one of the institutions listed in Table 19 for extramural training, while IVS indicated the use of three.

Six NGO's in the study sample indicated the use of *colleges or universities* for some part of their training program much as the Peace Corps uses such institutions. Specific institutions are usually chosen for some specific discipline, such as technical training or training in the culture or language of the host country, or a combination of discipline and geographic location. One organization indicated that their volunteers have at times participated in *Peace Corps* training programs.

Table 19

EXTRAMURAL TRAINING FACILITIES UTILIZED BY U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Facility	Number of Agencies Utilizing Facility
Colleges and Universities	6
International Agencies	1
U.S. Government Facilities	3
FSI	1
A.I.D.	2
Peace Corps	1
Unspecified *(inferred)*	6
Total Providing Information	15

The use of *A.I.D.* facilities for training programs by two organizations has been primarily related to A.I.D. contracts.

Four organizations in the study sample indicated that they maintain or support no formal training program for their personnel, but do utilize extramural facilities when some orientation or training is necessary. Three of these organizations also indicated the use of some intramural orientation or training when necessary (see preceding section). Fourteen of the NGO's in the study sample indicated the use of some mix of intramural and extramural methods and facilities in their training program, whether formal or informal, structured or unstructured, regular or as necessary.

3) Other Types of Training Programs

As indicated previously, some NGO's utilize training methods, techniques, instruments, and/or facilities maintained, supported or established by other NGO's in their training programs. For example, IVS has sent its volunteers in Viet Nam through intensive training programs at the International Rice Research Institute (IRRI) in the Philippines IRRI is supported jointly by the Ford and Rockefeller Foundations. *Upon their return to their field stations,* these IRRI-trained IVS volunteers *assist the Vietnamese in the introduction and expansion of production of new high-yield rice varieties* [Ref. 57]. Inter-NGO cooperation and coordination is not included in Table 19, but is discussed in somewhat more detail in another section of this chapter.

IIRR operates a training center for rural development workers for the rural reconstruction movements which IIRR supports. The training Manual for Field Workers [Ref. 58] developed by IIRR and the Philippine Rural Reconstruction Movement (PRRM) impressed the RTI research team as a useful general guide to community development work.

This manual has been in use since 1967; many IIRR training materials such as this are used by the Peace Corps in their training programs [Ref. 59]. Further discussion of the IIRR training program and other training programs which are considered *projects* of NGO's in the study sample will be found in a subsequent section entitled *Program/Project Operations.*

According to Dr. Arthur T. Mosher, President of the Agricultural Development Council (ADC), ADC is unique in that the organization has no programs of its own.[Ref. 60] Nonetheless, Dr. Mosher and his colleagues have developed an apparently useful, general, philosophical guide to agricultural development and modernization with an accompanying training manual for group study [Ref. 61,62]. This guide has been translated into virtually all languages [Ref. 60] and is apparently in great demand.

4) 1965 ACVA *Study of Orientation Programs* [Ref. 63]

In 1965, ACVA conducted *A Study of the Orientation Programs of a Selected Group of Voluntary Agencies and Missions Involved in Overseas Development Assistance for the following basic purposes:*

a) *To obtain information about the scope and content of orientation programs administered by a selected group of U.S. non-profit agencies.*

b) *To discover the extent to which similarities exist in the formats of agency orientation programs.*

c) *To permit the sharing among agencies of unique aspects of individual orientation programs.*

d) *To gather information on agency plans for the future development of orientation programs.*

For the purposes of their study, ACVA defined *orientation program* as *the training or briefing which individuals, who have been assigned to agency posts abroad, receive immediately prior to their departure from the U.S.A. and, in some cases, upon their arrival overseas.*

This ACVA study, which concentrated only on the orientation/training aspect of international development assistance, is a useful supplement to the RTI study reported herein. The methodology was similar, in that data collection was via personal interviews and mailed questionnaires and several of the same NGO's were included in both the 1965 ACVA study and the current RTI study. Furthermore, as is the policy in this report, organization names appeared in the ACVA report *when unusual and perhaps unique aspects of their orientation programs are mentioned. In general, material obtained in the course of the* ACVA *study* was *synthesized without specific citations.* Some caution should be observed in transferring data between the two studies as not all the organizations included in both studies are the same. Of the ten NGO's with whom personal interviews were conducted by the ACVA investigator, six or 60 percent were included in this RTI research effort. However, of an additional ten NGO's that supplied data to the ACVA study by mail questionnaires, only two provided data to Phase III of this RTI study. Therefore, only eight of the 20 NGO's in the ACVA study, or 40 percent, participated in the RTI study.

According to the ACVA investigator, *there are variations in the program curricula of agencies included in the study due to differing agency objectives and functions,* but certain topics appeared with some regularity in the training programs studied by ACVA, including *geographical area studies, the adjustment of the trainee to his new environment, the agency's overseas program, and the nature and responsibilities of the overseas post.*

Several agencies in the ACVA study provide for programs of study at universities, colleges, or institutes if it appears that individual appointees would benefit from additional knowledge about a particular aspect of technical assistance. By comparison, six of the NGO's in the

RTI study (Table 19) mentioned the utilization of colleges or institutions as part of their training programs, so it would appear that this aspect of training personnel for work in international development assistance did not change significantly between 1965 and 1971.

Approximately half of the NGO's in the ACVA study provided some training in *administrative procedures* such as accounting and shipping and provide some discussion of the U.N. and its activities and the involvement of U.S. Government organizations in international development assistance. Similarly, approximately 50 percent of the NGO's in the ACVA study indicated that they provide some *foreign language training* and *many agency staff who discussed their plans for future orientation programs* indicated an *intention to increase attention given to language training.* Only some 29 percent of the RTI study sample indicated that they provide some language training, however (Table 18).

> *Language training continues for the majority of workers upon their arrival overseas. Some agencies merely encourage workers to study the language of the host country and subsidize their training. The Near East Foundation provides the incentive of a bonus if a worker learns to speak the language and a second bonus if he learns to write it. While language study is undertaken at the worker's expense, its costs are defrayed by the bonuses.* [Ref. 63]

According to the ACVA investigator, *some agencies attribute their omission of language training to the fact that appointees will be working overseas chiefly with individuals who are fluent in English. Only a few agencies include the study of linguistics in their orientation programs.*

Slightly more than half the orientation programs in the ACVA study include some discussion of the technical

assistance activities of other U.S. voluntary agencies. Motivations for this phase of the program are varied; in some instances staff wishes to indicate that technical assistance is a cooperative rather than a competitive venture and, in others, an attempt is made to put trainees in touch with personnel of other agencies working in countries to which they have been assigned. Similarly, *more than half the agencies included in the* ACVA *study encourage and, in some cases, expect wives to participate in orientation interviews and group sessions and frequently regard husbands and wives as a team.*

Almost every agency included in the ACVA *study continues some form of orientation training overseas,* while *every agency included in the study provides its trainees with literature related to topics covered in the orientation program. Approximately half the agencies prepare material specifically for their orientation programs; the remainder utilize agency brochures and pertinent literature acquired from a variety of governmental and non-governmental sources. While less than half the agencies have prepared manuals for the use of their trainees and overseas workers, several others indicated their intention to do so shortly.* Again, by comparison, only 11 or some 32 percent of the RTI study sample indicated the establishment of some type of *host country training center* while only eight of the NGO's in the RTI study sample indicated the provision or support of language training in the host country, as shown in Table 18. It is difficult to speculate whether differences between the ACVA and RTI studies indicate shifts in emphasis in training for international development assistance between 1965 and 1971.

The ACVA investigator distinguishes between the process and content of orientation/training programs where *"process" is defined as an unstructured program which focuses on*

activities enabling participants to "unlock" themselves and become more sensitive to their own needs as well as the needs of others. A program emphasizing content is defined as one having as its chief function the transmission of specific information about a geographical area, an aspect of technical assistance, an overseas program, or any other topic introduced by agency personnel. It appears that church-related agencies emphasize process more frequently than do non-church-related agencies, but it should be emphasized that none of the agencies advocates one method of orientation to the exclusion of another. Elements of both process and content are present in the study programs in occasionally shifting combinations which depend upon the philosophy of the agency and its administrative personnel.

According to the ACVA report, the NGO's do not view their programs as a screening process and generally complete all psychological and physical tests during the pre-orientation period. The termination of an applicant/trainee may be initiated by the agency or the trainee "may counsel himself out."

The length of two out of three agency orientation programs included in the ACVA study is one month or less. Programs of shorter length appear to be chiefly concerned with the introduction of very specific content material on geographical areas, administrative procedures, overseas projects, etc. Language or linguistics training is only occasionally a factor affecting the length of the program in the U.S.A.

> Agencies appear to utilize the method of group sessions whenever more than two or three trainees are oriented at one time. Administrators have given several reasons for preferring group sessions. It is easier to induce someone from

outside organizations or academic institutions to speak on a geographical or technical topic to an audience of twenty or more trainees rather than to a small gathering of two or three individuals. Financial considerations also prevent the scheduling of individualized lecture programs. Several agencies use the method of group sessions to foster the team spirit and sense of unity which frequently determine the success of their overseas programs. [Ref. 63]

According to the ACVA report, *the majority of trainees are on-the-job within two months after their arrival* in the host country. *Contacts with government personnel of the host country and staff from U.S. governmental and non-governmental agencies are frequently made by newly-assigned administrative workers.*

In the ACVA study, the investigator approached the possibility of the establishment of a training center to serve the needs of more than one organization. The response of the NGO's was described by the ACVA investigator of one of *cautious interest. The hesitation of the majority of study agencies to endorse wholeheartedly the formation of interagency centers appears to rest primarily on the desire to transmit agency philosophy through orientation training.*

In the words of one NGO staff member, *"If he is worth sending overseas, it is worthwhile to take the time to train him ourselves."* Specific questions and objections included:

a) *Workers are sent overseas at irregular intervals which might not coincide with a center's training schedule.*

b) *Availability of funds* to support such a center.

c) *Freedom of action and planning would be hampered.*

d) *Conflict in emphasis* between organizations.

In the ACVA study, *two agency representatives expressed a concern about the lapse in communication which frequently occurs between the home office staff and overseas workers. One agency believes the problem could be ameliorated if a staff member from the home office regularly visited overseas projects in order to talk with personnel and maintain the rapport which existed between agency administrators and trainees prior to their departure from the U.S.A.* Furthermore, *administrators who express general satisfaction with present agency orientations add that programs are always being reevaluated with a view to improving their effectiveness.* [Ref. 63]

5. Program/Project Planning Policies and Guidelines

a. General Background

Many organizations, both Government and nongovernment, use the terms program and project interchangeably, but generally a *program* is of a broader scope and is composed of *projects*. The Programs of the NGO's are usually determined by the organization's charter, philosophy and/or Board of Directors and may be classified according to discipline or function, or geography, or both. The *functional programs* within NGO's are generally the categories of development assistance emphasis as reflected in Table 7: Education, Food Production and Agriculture, Medicine and Public Health, etc. Some organizations employ the *country or regional program concept; i.e.*, all projects within a country or region, regardless of discipline, are considered units of an overall program to assist the country or region in development. Still other organizations *cross-reference* their projects by both functional and geographic programs.

CWS appears to be somewhat unique in that the differences between programs and projects appear to be basically budgetary in nature. In CWS terminology, *program refers to the active, ongoing action within CWS work, which is funded by the churches through CWS, in emergency response, in aid to refugees, or in short-term*

relief work, and is reflected in annual CWS budget commitments. On the other hand, *project refers to those special (short-term) activities, established with the approval of the CWS Executive Director and the CWS Department Committee, funded by special assignment from church donors through CWS or through special CWS appeals to member and supporting churches.* [Ref. 38, p. 5]

Since shifts in program emphasis within the NGO's appear to be generally infrequent, this section will address itself primarily to project planning methods and techniques.

b. Sources of Project Ideas

Of the 34 NGO's in the study sample, 19 or some 56 percent provided the RTI research team with some information on the source of ideas for new projects. This information is summarized in Table 20, which presents a summary listing of the sources of ideas for international development assistance projects operated and supported by the NGO's, and the number of organizations indicating utilization of each source.

Twelve of the NGO's in the study sample (some 35 percent) indicated that ideas for new development assistance projects frequently originate within elements of their own organization, either the *overseas staff* or some *constituency*. Nine organizations mentioned their overseas staff as sources of new project ideas while five mentioned *member organizations* (churches, labor unions, etc.) as sources of such project ideas, as shown in Table 20. Two study sample NGO's indicated both their overseas staff *and* constituency as sources of new project ideas. *Interestingly, not one NGO in the study sample indicated that ideas for new development assistance projects originate in the home office of the organization.*

Twelve NGO's in the study sample also indicated that ideas for new development assistance projects come from some element of the *host country*, either a *government agency*, the *private sector*, or a group of people who will be *recipients* of such assistance, again as broken down in Table 20. Four organizations

Table 20

SOURCES OF IDEAS FOR INTERNATIONAL DEVELOPMENT ASSISTANCE PROJECTS OPERATED AND/OR SUPPORTED BY U.S. NONGOVERNMENT ORGANIZATIONS

Source of Project Idea	Number of Agencies Utilizing Source
Nongovernment Organizations	
Overseas Staff	9
Member Organizations	5
Host Country	
Government Agency	8
Recipients of Assistance	5
Private Sector	3
U.S. Government	
A.I.D.	3
U.S. Embassy in Host Country	1
International Agency	5
Total Indicating Source	19

indicated that new project ideas are likely to originate with more than one or a combination of host country elements.

Three organizations in the study sample indicated that ideas for new development assistance projects are likely to originate within the U.S. Government structure. All three NGO's mentioned *A.I.D.* as a source of such ideas, while one organization also mentioned the *U.S. Embassy* in the host country. Five organizations indicated that ideas for new development assistance projects frequently originate with *international agencies* such as the U.N. or its specialized agencies.

c. Project Planning Guidelines

Most of the NGO's in the study sample require some type of *grant application* or *project proposal* outlining suggested development assistance efforts, but the form which these proposals take varies considerably among the organizations. Some organizations simply request the submission of an informal and unstructured letter, while others require a more formal and structured outline and discussion of the proposed effort.

Of particular note among the more formal and structured guidelines for project planning are those of CARE, CRS and CODEL, relevant aspects of which are presented and discussed in the following paragraphs.

1) CARE

According to CARE, *"good projects" don't just happen but result from thorough project research, careful project selection, good planning and design, and aggressive follow-up. It is necessary that the objectives of a project, its implementation and administration, the equipment or materials required, etc. be thoroughly studied from all points relevant to the undertaking. Good self-help programming requires that all of the social, cultural and technical factors, etc. that might contribute to the success or failure of a project be thoroughly considered, that*

CARE self-help criteria be applied rigorously, and that the key questions on which the project is likely to turn should be satisfactorily answered by the Project Proposal.

The Project Proposal functions, then, as a kind of inventory or check list of things which the Mission must do and of the information it must have in order to develop sound projects. Because of the fact that the Project Proposal must serve a dual function, it is probable that in some instances missions may consider certain information either as superfluous or unnecessary, but this is definitely not the case. Every effort should be made to present as complete and well documented a proposal as the size, complexity, and importance of the project merits. The more complete the information provided the less likelihood there will be of delays in approval due to additional correspondence. [Ref. 64, p. 31]

The CARE *Project Proposal Format* is divided into five sections, each of which is designed to serve a specific purpose, as indicated in the following outline.[Ref. 64, pp. 31-32]:

I. *General Description of Project*
   . . . *provides summary*

II. *Objectives*
   . . . what the project is trying to do

III. *Project Background and Justification*
   . . . why the project is being undertaken

IV. *Project Implementation and Administration*
   . . . how the project is going to be realized

V. *Materials, Specifications, Remittance, Cost*
   . . . what will be required to realize the project

This Project Proposal Format, which appears in more detail in Appendix I, has been used by the CARE organization since 1968 and represents some 20 years of experience in relief and development assistance.

2) Catholic Relief Services (CRS)

CRS has recently developed an impressive Manual for Socio-Economic Development, which again represents more than 20 years of experience in international relief and development assistance. In this Manual, CRS discusses certain *elements which go into the planning of a good project at the community level, including:*

a) *Self-help orientation: the project does not seek to provide services for a community, but rather to encourage people to do something about resolving their own problems.*

b) *Community participation: the community is involved at every stage of the project - planning, training, implementation, follow-up.*

c) *Participation in decisions: the community is not merely consulted, but participates in decision-making at all stages as soon as is practicable. The agency responsible for directing the project is preferably not an individual, but a co-operative or other community organization broadly representing the people who are affected by the project.*

d) *Multiplier effect: Some projects by their very nature tend to have a widening influence (e.g. the training of co-operative leaders). Other projects may make provision for multiplying results, particularly through the establishment of a "revolving fund". Instead of giving seeds and tools free of charge to a farmer, it is preferable for the farmer to pay for his seeds and tools on a short or long-term basis, and*

for the money to go into a revolving fund which can be used over and over again to extend the program to other farmers. A fair interest rate should be decided upon, which will cover bad debts and inflationary factors.

e) *Proportional: the amount of funds requested should be proportional to the area of influence of the project. Local resources should be used to the maximum possible extent.*

f) *Continuity: the project should help to develop a situation which will be able to continue with co-operative or other activities long after the project itself is finished.*

g) *Integrated approach: local project planning is most effective when integrated with municipal, area and national plans. A project thus relates the community to a wider range of resources: local and national government, business, private agencies, universities, foundations, etc. The community learns through experience how to utilize these resources for future projects.* [Ref. 65, pp. 41-42].

The CRS *Project Application Guide*, presented as part of the aforementioned Manual, is presented as Appendix J.

3) CODEL

Although CODEL is still in the formative stages of organization, the principles and procedures which CODEL has designed to assist its *member private non-profit agencies* in project planning appear to have merit. *CODEL serves its member private, non-profit agencies by soliciting and managing funds for specific international development projects approved by the corporation* [Ref. 66]. Efficient project planning is an important part of this effort.

CODEL's proposed *Project Flow Chart*, reproduced as Figure 13, is impressive in its process and design, but is yet to be tested. CODEL does, however, draw upon the extensive accumulated experience of its member organizations, which include CRS.

To assist and guide its member organizations in project planning, CODEL advocates the following *principles of development assistance:*

a) *The primary goal of a development project should be to assist the socio-economically disadvantaged to participate more fully in the economic and political life of their country.*

b) *Projects should be designed to meet needs which have been accorded the highest priority by the local community and should be implemented in cooperation with those persons who will be directly affected by the anticipated results of the projects.*

c) *To insure that development projects are interwoven with the socio-economic fabric of a community and ultimately become the responsibility of the community after a limited and prescribed period of outside support, it is essential that the potential of local resources to meet project needs are carefully surveyed and clearly defined in the planning of the project.*

d) *To increase the effective participation of local personnel in development projects and in public service programs, adequate educational and training programs shall be provided wherever necessary. Special attention should also be given to increasing the effective utilization of indigenous natural and material resources. All such programs should be designed to foster initiative and self-determination.*

PROJECT FLOW CHART

INITIAL PLANNING

1. A representative for the private member agency in the project area develops the plan for the project in cooperation with local community leaders and other development agencies.

2. The CODEL project Questionnaire is used to facilitate the description of the project. Major items include:

   a) specific goals to be accomplished;
   b) numbers of persons to be aided;
   c) manner of implementation;
   d) itemized budget and justification;
   e) phasing;
   f) coordination with local officials and agencies.

3. A local organization is formed to administer the project and local support is sought.

4. The CODEL Questionnaire is sent to the agency's headquarters in the U.S. for review, citing all sources of support being solicited.

MEMBER AGENCY'S U.S. OFFICE

1. The proposed staff of the project is reviewed and their competence is ascertained.

2. Budget is checked, particularly in reference to contributions from the proposing agency, including contributed services and facilities.

3. Approves goal of project as being within the scope of the submitting agency's overall mission.

4. Recommends the project to CODEL. →

CODEL CLEARINGHOUSE

PHASE I. Project proposals are reviewed. Those which appear to meet general CODEL standards are submitted to the Project Committee for review. Abstracts are circulated to members for comments. Technical assistance proposals are sent to several "outside" evaluators.

PHASE II. CODEL's Project Committee judges whether proposal falls within scope of corporation's Principles of Development Assistance, (see pages 109-111). Majority of reviewing panel must approve the project in order for CODEL to assist in its funding.

PHASE III. Project Committee recommends action to Executive Committee whose vote is the determining factor as to whether the Executive Director of CODEL proceeds with project.

PHASE IV. Clearinghouse advises all members on action taken. Approved projects are developed into presentations for foundations, corporations, and government agencies. Funds are solicited in collaboration with member agency.

PHASE V. Funds received for projects are placed in special accounts at Manufacturers Hanover Trust for transfer to the project area. Member is required to report on expenditures within 3-6 months of their receipt and every 3-6 months thereafter until project is completed.

PHASE VI. Reports on projects are compared to original budgets submitted on CODEL Questionnaire. Discrepances result in withheld funds. Donors are apprised of how their funds were expended and on results achieved.

PHASE VII. Audits are performed on larger projects to check accountability of funds. All projects are reviewed by independent local agencies to ascertain actual benefits to the area.

Source: *CODEL: Cooperation in Development* (Brochure). New York: CODEL, Inc., n.d.

Fig. 13. CODEL Project Flow Chart.

e) *Development projects should demonstrate a positive and complimentary relationship between voluntary agencies, regional and national development planning offices, international development organizations, and other groups involved in a country's development processes. Efforts to achieve mutually agreed upon development goals and to make optimal use of available resources will reduce development costs.*

f) *Since development projects are to be directed toward the resolution of socio-economic problems, they are to be distinctly separate from any proselytizing or evangelistic goals.* [Ref. 66]

4) Planning-Programming-Budgeting System and Other Government Systems

One organization (CDF) indicated the application of the *Planning-Programming-Budgeting (PPB) system* of the Bureau of the Budget (BOB) in which *program objectives are to be identified and . . . reflect future as well as current implications of decisions. The program structure groups the activities of an agency into a set of program categories that facilitates analytic comparisons of the costs and effectiveness of alternative programs.* According to the PPB system, a *Program Memorandum* is prepared *for each program category;* these Program Memoranda *define long-range goals and objectives and anticipated program accomplishments.* [Ref. 67]

Several of the NGO's in the study sample, notably AIFLD, operate to varying degrees under contract to A.I.D. and in the planning of such A.I.D.-sponsored development assistance projects employ the A.I.D. *PROP-PIP-PAR system* which will be discussed in the next Chapter (III).

5) Other NGO Planning Policies and Guidelines

CWS *programs and projects are planned to meet human needs within a definite period of time. All work is planned with reference to urgency of need, definition of goals of program or project, and scheduled withdrawal or transfer of support.* [Ref. 38, p. 6]

According to CARE, *a project should not only add to the resources, skills, and motivation of the beneficiary group, but also point the way for continuing self-development in the immediate locale and beyond it.* [Ref. 68, p. 10] Barclay Acheson of NEF advocated the point of view of the physician in program and project planning: *careful study of the problem and the desire to solve it without hatreds for some and affections for others.* [Ref. 69, p. 6] Similarly, another writer emphasizes that care be *taken to weed out anything that might in any way offend religious, racial or national sensitivities.* [Ref. 70, p. 2] An IVS volunteer in Laos stated that *IVS must not be a partisan organization. . . . Certainly we can never be non-political, for we must always work with a host government; to do otherwise is irresponsible. But we can be apolitical. . . .* [Ref. 71, p. 11] NEF states that

> *One of the obvious assets of Near East Foundation is its non-political character. As a voluntary agency it has no political alignment, supports no partisan interest, and is prepared to work with any Middle East government earnestly seeking public improvement.* [Ref. 72, p. 3]

PAS suggests *two essential requirements for technical assistance programs . . . One is that they be recognized as long term and as extending over a wide range of matters . . . . The understanding and support of the top political and executive leaders is also needed; in fact it is probably a sine qua non of success . . . .* [Ref. 13, p. 86] According to the previously quoted IVS volunteer:

> *One cannot work to develop responsible leaders in government if a country does not have*

a viable economic base and an efficient national communications system; economic advancement cannot be expected unless attention is paid to the social and political feasibility of the projects and to developing incentives that are relevant to the common people involved; and social institutions and practices cannot be modernized or modified without an effective program of economic and political growth. We cannot separate these factors, and until we can integrate our approach to development well enough to predict and evaluate our activities along all these lines simultaneously, we will just be playing with other peoples' lives. [Ref. 71, p. 10]

According to PAS, *when the need for technical assistance is comprehensive, the first step should be a general reconnaissance to identify needs and propose approaches that are susceptible of action. A pilot project or demonstration type of assistance may also be undertaken, either independently or in conjunction with a general study.* [Ref. 13, p. 92]

On the other hand, a CDF Training Unit states that *unless government aid demands comprehensive records in advance, it is not necessary to make a detailed social, economic and cultural analysis of an area before beginning to work there.* [Ref. 47, p. 3]

Dr. John Peters of WN advocated *a program which will allow men to keep their dignity and self-respect.* [Ref. 73, p. 8]

As an example of ways in which some of these planning policies are integrated into project objectives, a PAS *project was conceived and viewed as (1) evaluating governmental organization and administration; (2) recommending improvements; and (3) after governmental acceptance of proposals, assisting in placing recommendations into effect.* [Ref. 74, p. 3]

In the selection of project sites in the aforementioned Barpali experiment, *the following factors were suggested by the survey team as important:*

1) *The location should be typical of a fairly large area so that the methods and programs developed could be duplicated elsewhere;*
2) *The project site should be relatively accessible; and*
3) *The government officials should show a cooperative attitude and already be thinking or acting in the direction of land tenure reforms.* [Ref. 44, p. 31]

The basic plan of the project was to determine from the villagers themselves what improvements they desired most, or, as in cases of public health work, in what general areas they desired assistance, and then to enlist village leadership, organization and participation in designing and carrying out programs to satisfy these needs and desires. Essential to this approach was gaining the confidence of the village people, particularly the leaders. [Ref. 44, p. 54]

The uniqueness of Near East Foundation lies partly in the fact that no project is ever undertaken without official request and governmental cooperation. This requirement met, a demonstration immediately becomes a people-to-people operation. The ultimate objective is attained when the two approaches merge into a nation-wide service. [Ref. 72, p. 42]

One principle that has *proved effective* in NEF *rural development programs is that a program should begin with agricultural improvement, which involves working with individual farmers and then slowly include other phases of the program as the community is ready for them: homemaking, sanitation, and other.* [Ref. 72, p. 118]

In planning rural improvement schemes, one must consider two types of programs: those benefiting individual families and those benefiting the community through civic action.

Programs of civic nature which affect the farmer indirectly do not appeal to him. In general, the individual village farmer lacks the civic sense of responsibility. Therefore, community projects should not be begun until the reconstruction worker has established himself in the community by first working with the individual family and then gradually with projects which involve the whole community. For example, the village streets of Kaber Effit in Syria were paved and sewerage canals built two years after the village-level worker had his agricultural improvement program underway. The Jordan pilot project for community development which was inaugurated by Near East Foundation introduced a women's program in some communities a year later. It was begun at the request of the people themselves and they completely financed it. [Ref. 72, p. 119]

d. Project Selection Criteria

As can be seen in question 20 of the questionnaire in Appendix C, all 34 NGO's in the Phase III study sample were queried regarding criteria applied in selecting and/or funding international development assistance projects. Thirty-three (33) or some 97 percent of the study sample provided the RTI research team with relatively definitive information regarding project selection criteria; 23 organizations, or some 68 percent of the Phase III study sample, provided some relative ranking of the priorities of the various project selection criteria which they apply.

Table 21 presents a listing of the various project selection criteria mentioned by the 33 NGO's which provided such information; the number of agencies indicating specifically the use or nonuse of the criterion; the number of agencies ranking the priority of the criterion; and the average ranking of those *provided by the agencies*. As has been the procedure in previous sections, Table 22 goes one step further in comparing relative rankings *from the rankings provided by the organizations involved* (based on the last column of Table 21) and

Table 21

PROJECT SELECTION CRITERIA EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS IN SELECTING INTERNATIONAL DEVELOPMENT ASSISTANCE PROJECTS

Project* Selection Criterion	Number of Agencies			Average Ranking**
	Indicating Application of Criterion	Indicating No Use of Criterion	Ranking Priority of Criterion	
Project Organization and Proposal Factors				
Costs/Benefits	8	-	4	4.50
Type of Project	11	-	5	3.40
Units of Service	4	-	1	1.00
Overall Plan and Feasibility	10	-	4	6.25
Objective	8	-	4	1.50
Magnitude	8	-	2	3.50
Response to Request for Proposal	1	1	-	-
Time	8	-	3	6.00
Provisions for Review	3	-	2	6.00
Nongovernment Organization Factors				
Available Funding	18	-	7	1.06
Availability of Qualified Personnel	13	-	3	2.67
Organization Philosophy	7	-	4	3.25
Past Experience and Expertise	3	-	2	8.50
Host Country Factors				
Arrangement with Host Government	11	-	6	3.00
Compatible with Host Country Development Goals and Planning	10	-	3	2.67
Political Stability of Host Country Area	10	-	5	2.80
Support from Private Sector (Universities, Voluntary Agencies, Etc.)	8	-	4	4.50
Felt Need	19	-	8	1.58
Availability of Local Resources (Manpower, Materials)	15	-	9	3.78
Availability of Matching Funds	9	-	1	4.00
Ability to Become Self-supporting and Continue	13	-	4	7.25
Geographic Location	9	1	4	4.50
By Invitation or Request Only	9	-	1	1.00
Availability of Capable Local Leadership	11	-	4	3.25
Overall Capability of Government and/or Recipients	4	-	2	4.00
Project Characteristics				
Non-political Nature	10	-	1	1.00
Self-help	6	-	2	2.00
Potential Impact	8	-	4	3.50
Occupational Heterogeneity	1	-	-	-
In Viable Area	1	-	-	-
Timing	5	-	1	3.00
Other Considerations				
Religious Considerations	4	3	1	5.00
U.S. Foreign Policy	9	2	7	2.71
Pilot Project Preferred	1	-	1	1.00
Total Providing Information	33	-	23	-

*In some cases, includes programs and grants.

**Rank: Decreasing importance with increasing number.

Table 22

RELATIVE RANKING OF PRIORITIES OF PROJECT SELECTION CRITERIA

Project Selection Criterion	Relative Ranking		Average Rank*
	From Priority Ratings by Agencies	By Number of Agencies Applying Criterion	
Project Organization and Proposal Factors			
Units of Service	1	26	14
Objective	6	17	10
Type of Project	17	6	10
Magnitude	18	17	22
Costs/Benefits	23	17	28
Time	27	17	30
Provisions for Review	27	29	33
Overall Plan and Feasibility	29	9	25
Response to Request for Proposal	-	31	15
Nongovernment Organization Factors			
Available Funding	5	2	1
Availability of Qualified Personnel	9	4	4
Organization Philosophy	15	23	25
Past Experience and Expertise	31	29	34
Host Country Factors			
By Invitation or Request Only	1	13	5
Felt Need	7	1	2
Compatible with Host Country Development Goals and Planning	9	9	6
Political Stability of Host Country Area	12	9	8
Arrangement with Host Government	13	6	7
Availability of Capable Local Leadership	15	6	8
Availability of Local Resources (Manpower, Materials)	20	3	10
Availability of Matching Funds	21	13	20
Overall Capability of Government and/or Recipients	21	26	31
Geographic Location	23	13	24
Support from Private Sector (Universities, Voluntary Agencies, etc.)	23	17	28
Ability to Become Self-supporting and Continue	30	4	20
Project Characteristics			
Non-political Nature	1	9	3
Self-help	8	24	18
Timing	13	25	25
Potential Impact	18	17	22
In Viable Area	-	31	15
Occupational Heterogeneity	-	31	15
Other Considerations			
Pilot Project Preferred	1	31	18
U.S. Foreign Policy	11	13	13
Religious Considerations	26	26	32

*Rank: decreasing importance with increasing number.

by the number of organizations indicating application of the criterion (based upon the first column of Table 21) and arriving at an *overall average priority ranking*. In both Tables 21 and 22, the project selection criteria are grouped into several categories of factors involving primarily elements of the proposed project itself; the structure, philosophy, and experience of the involved NGO; the host country environment; general project characteristics; and a few miscellaneous considerations. Again, the absence of a positive response does not denote a negative response in that the queries were unstructured and efforts were made not to lead the respondents.

Table 23 presents a listing of the project selection criteria applied by the study sample in order of apparent priority (from the last column of Table 22. The criteria are discussed in the following paragraphs by factor category; the apparent average ranking from the last column of Table 22 is shown in parentheses following the criterion.

1) Nongovernment Organization Factors

   a) *Available funding (1):* It would appear that this is the singly most important criterion in considering a development assistance project, for obvious reasons. This criterion was mentioned by 18 NGO's (53 percent of the study sample) and ranked by seven organizations in the study sample. Only one other criterion (Felt Need) was mentioned as being applied by more organizations (19), and only two other criteria (Felt Need and Availability of Local Resources) were ranked by more study sample NGO's. Funding appears in the CODEL Project Flow Chart in Figure 13 and the CRS Project Application Guide in Appendix J. If funding is available, then the project can be realistically considered and other selection criteria applied.

   b) *Availability of qualified personnel (4):* The meticulous care which the NGO's exercise in selecting their personnel has been discussed in a previous section; as CWS stated,

Table 23

CRITERIA APPLIED BY U.S. NONGOVERNMENT ORGANIZATIONS IN SELECTING PROJECTS IN INTERNATIONAL DEVELOPMENT ASSISTANCE

1. Available funding
2. Felt need
3. Non-political nature
4. Availability of qualified personnel
5. By invitation or request only
6. Compatible with host country development goals and planning
7. Arrangement with host government
8. Political stability of host country area
   Availability of capable local leadership
10. Availability of local resources
    Type of project
    Objective
13. U.S. foreign policy
14. Units of service
15. In viable area
    Operational heterogeneity
    Response to Request for Proposal
18. Self-help
    Pilot project preferred
20. Availability of matching funds
    Ability to become self-supporting and continue
22. Potential impact
    Magnitude
24. Geographic location
25. Overall plan and feasibility
    Timing
    Organization philosophy
28. Costs/benefits
    Support from host country private sector
30. Time requirements
31. Overall capability of host country government and/or recipients
32. Religious considerations
33. Provisions for review
34. Past experience and expertise

Sources: Tables 21 and 22.

the foundation of any organization is determined by the quality and commitment of its personnel. [Ref. 38, p. 36] According to the YMCA's Center for International Management Studies (CIMS), *the project should involve top management executives, with skill and experience in management practice.* [Ref. 75] IDS emphasizes *the effective and efficient utilization of funds and personnel available.* [Ref. 76, p. ii-c] As shown in Table 24, which will be discussed in part here and further in a subsequent section, the *personnel* of a development assistance project appears to be *the most important single factor influencing the success or failure of such development assistance projects.* As can be seen in Table 24, which lists the factors which 23 of the study sample NGO's (approximately 68 percent) indicated in various combinations as influencing the success or failure of international development assistance projects, more study sample NGO's indicated personnel as an important factor than any other factor. E. DeAlton Partridge, President of NEF, has stated that *the personal qualifications of the technical assistance worker is, perhaps, the most important factor in success or failure of a mission overseas ....technical know-how, while essential, is by no means a guarantee of success in working in non-Western cultures.* [Ref. 77, Preface] *Much of the success of the* Asia *Foundation's work in Asia has been due to the on-the-spot presence of experienced, knowledgeable and sympathetic representatives, capable of responding in a timely fashion to Asian initiatives and Asian needs.* [Ref. 78, p. 13] According to a CDF Training Unit, *the most important element of any community development program is the Community Development Worker.* [Ref. 47, p. 1] For example, *Lao authorities....express*

*general satisfaction with IVS....*but *wish IVS to recruit teachers with higher technical qualifications.* [Ref. 79, p. 14]

Table 24 also presents the number of agencies ranking the various factors contributing to the success or failure of international development assistance projects; the relative ranking of the factors by both number of organizations indicating that factor as important and according to the few priority ratings provided by NGO's in the study sample; and a perfunctory overall priority rating. As can be seen in Table 24, only three study sample NGO's provided definitive priority ratings of the factors; one organization rated two factors. Only one organization actually rated the importance of personnel, but did rate it first, the only factor receiving such a rating.

c) *Organization philosophy (25):* Even though only seven of the study sample NGO's specifically mentioned to the RTI research team that their organizational philosophy was an important criterion in selecting development assistance projects, this criterion is probably more important than the average ranking of 25 would indicate. Most organizations adhere closely to their basic philosophy and this is reflected in the *type of project* selected (see below and Tables 7, 21-23). In discussing project selection criteria with the RTI research team, the importance of the organization philosophy was probably assumed to be evident by NGO representatives.

d) *Past experience and expertise (34):* Again, the importance of this criterion was probably assumed to be self-evident and it probably plays a more important role in selecting development assistance projects than

Table 24

U. S. NONGOVERNMENT ORGANIZATIONS: FACTORS INFLUENCING SUCCESS OR FAILURE OF INTERNATIONAL DEVELOPMENT ASSISTANCE PROJECTS

Critical Factor	Number of Agencies		Rank*		
	Indicating Factor Important	Ranking Importance of Factor	By Number of Agencies Who Consider Factor Important	From Rating by Agency	Average
Personnel	14	1	1	1	1
System of Objectives	11	1	2	4	2
Availability of Local Resources	8	-	3	-	2
Host Country Political Climate	7	-	4	-	4
Continuity	7	-	4	-	4
Advance Planning	6	-	6	-	7
Host Country Government Reaction	5	-	7	-	8
Lack of Constraining Accountability	5	-	7	-	8
Organization Flexibility	5	-	7	-	8
Relevance of Project/Technique to Local Situation	4	1	10	2	6
Magnitude	4	-	10	-	12
Systematic Record	2	1	12	4	8
Perception of Project/Personnel by Recipients	2	-	12	-	13
Detailed Methodology	2	-	12	-	13
Total Providing Information	23	3	-	-	-

*Rank: Decreasing importance with increasing number.

the average rank of 34 would indicate, but only three organizations mentioned the criterion specifically, as shown in Table 21. Only two organizations rated the criterion's importance, rating it *1* and *16*, respectively.

2) Host Country Factors

a) *Felt Need (2):* This criterion was mentioned as being applied in selecting a development assistance project by more study sample organizations (19) than any other criterion (Table 21). Furthermore, only the relative importance of *availability of local resources* (see below) was actually rated by more organizations. In listing *Need* first in its list of *Criteria for the Selection and Development of CARE Projects*, CARE states that *the project should aim at meeting basic needs within the context of the country's level of economic and social development, and at benefitting the greatest possible number of people.* [Ref. 80, p. 1] Similarly, CWS lists first among its project selection criteria that *the project should be relevant to the most urgent needs of the community* [Ref. 38, p. 67]. This relevance of the project and techniques employed in its implementation to the needs and expectations of the recipients is also an important factor in the overall success or failure of the project, as shown in Table 24. CODEL lists felt need second in its previously cited *principles of development assistance* (p. 109). CIMS/YMCA also lists *Need and Interest* second among its project selection criteria [Ref. 75].

b) *By invitation or request only (5):* Nine of the study sample NGO's indicated that they only enter a host country on a development assistance effort at the specific request or invitation of the host country government (Table 21). In 1966, NEF was considered *unique* in this regard (see p. 114) [Ref. 72, p. 42].

c) *Compatible with host country development goals and planning (6):* This criterion was cited as applied by ten study sample organizations and may reflect a type of felt need, but at a higher level than the community. The project should be part of a larger plan.

d) *Arrangement with host government (7):* Even if the proposed project fills a *felt need* of the people and is *compatible with host country development goals and planning,* the project must have the concurrence of the host country government. Thirteen of the NGO's in the study sample cited the *arrangement with the host government* as an important criterion in the selection of international development assistance projects (Table 21). Five organizations in the study sample cited *host country government reaction* as an important factor in the success or failure of development assistance projects (Table 24). According to PAS, in some countries *such as Afghanistan, development depends primarily on government.*[Ref. 81, p. 1] PAS further cited project problems in Brazil and Chile due to internal politics.[Ref. 48]

e) *Availability of capable local leadership (8):* Eleven of the NGO's in the study sample cited this criterion as important in the selection of international development assistance projects.

f) *Political stability of host country area (8):* Ten of the study sample organizations cited the *political stability of the host country area* as a major factor to consider in selecting international development assistance projects (Table 21). Seven of the study sample NGO's cited the *host country political climate* as an important factor in the failure or success of development assistance projects (Table 24). The effects of the political situation in Southeast Asia on IVS recruiting has been cited previously (see pp. 64-65).

g) *Availability of local resources (10):* Fifteen of the study sample organizations cited the *availability of local resources* (manpower and materials) as an important consideration in selecting international development assistance projects. Only two other project selection criteria (*felt need* and *available funding)* were cited by more organizations (Table 21). Eight organizations in the study sample cited the *availability of local resources (including matching funds*--see below) as an important factor in determining the success or failure of development assistance projects. Only two other factors *(personnel and system of objectives)* were cited by more study sample NGO's as important in project success or failure (Table 24). According to CIMS/YMCA, in its *criteria governing the selection of a project, contributions by the host country organizations and institutions should be encouraged and host countries should participate in the planning and financing of the project.* [Ref. 75] According to CARE, *programs should embody some contribution by the beneficiaries themselves. This counterpart contribution should exist in the form of labor, material, land or other facilities, cash, or organization and leadership to increase the degree of responsible participation on the part of beneficiaries and enhance the effectiveness of the CARE donors' contribution.* [Ref. 80, p. 1] (See *CODEL principles of development assistance*, p. 109).

h) *Availability of matching funds (20):* Nine of the study sample NGO's indicated the consideration of the *availability of matching funds* from host country sources in selecting development assistance projects (Table 21); only one organization provided a priority ranking for this criterion, ranking it fourth behind

feasibility, objectives and availability of other *local resources*. As mentioned in the preceding paragraph, several organizations in the study sample consider matching funds together with other local resources an important factor in the success or failure of international development assistance projects (Table 24). CWS feels that *the community should bear the greatest possible share of the project costs, consistent with its means.* [Ref. 38, p. 68] This emphasis on *matching funds* and other *local resources* is part of the NGO's effort to foster and maintain attitudes of *dignity, self-respect* and *responsibility* among the recipients of international development assistance.

i) *Ability to become self-supporting and continue (20):* Thirteen of the NGO's in the study sample indicated a preference to select projects designed, or having the potential to eventually become, self-supporting and continue under indigenous control (Table 21). As has been stated by the Asia Foundation and cited previously (p. 57), *the purpose of external support should be the stimulation of indigenous capabilities and indigenous initiative.* [Ref. 29] This kind of project continuation under indigenous control must be distinguished from *the continuity necessary to effective technical assistance* [Ref. 81, p. 3] which is a characteristic feature of NGO's and is cited in Table 24 as a factor important in the success of international development assistance projects. This latter type of *continuity* will be discussed in a later section of this chapter.

j) *Geographic location (24):* Nine of the study sample NGO's cited the *geographic location* of a proposed development assistance project as an important consideration in selecting the project for realization (Table 21). As indicated previously, the *basic charters* of some

organizations limit their geographic sphere of influence. Also, geographic location becomes a consideration in *politically unstable or volatile areas*, such as the Middle East or Southeast Asia. Geographic location within a country can significantly affect such features as *transportation* and *communication* and thereby influence the success or failure of the project. One organization indicated that *geographic location* is *never* a consideration in selecting development assistance projects, however (Table 21).

k) *Support from the host country private sector (28):* Eight of the study sample organizations indicated that, in considering selection of a development assistance project, the support of organizations and institutions in the host country private sector (industry, labor unions, voluntary agencies, universities, cooperatives, etc.) is sought and even required (Table 21). A feature of several organizations, such as CRS and CWS, is the way that they work through counterpart organizations in the host country. (See *CODEL principles of development assistance*, p. 111).

1) *Overall capability of host country government and/or recipients (31):* As reflected in Table 21, four study sample organizations indicated attempts to assess the overall ability, real or potential, of the host country government or recipients of development assistance to participate in, and benefit from, proposed development assistance projects. According to CARE, *adequate supervision should be available to insure proper utilization of the material or equipment supplied. The complexity of equipment should be commensurate with the technical ability and financial means of the beneficiaries to use and maintain it. Equipment for training programs should be provided only when there is assurance that those trained will be able to use their new skills.* [Ref. 80, p. 1] One report *pointed*

out that a large number of U.S. trained Middle Easterners underwent embittering, economic frustration on their return to the Middle East, due to their inability to find use for their training and experience. This frustration, and the temptation to stay in the U.S. instead of returning to their native countries, in many instances defeated the announced purpose of the educational program. [Ref. 82]

3) General Project Characteristics

a) *Non-political nature (3):* Ten of the NGO's in the study sample stressed the *non-political nature* of the development assistance projects which they select, as shown in Table 21. According to CWS, *in the course of project planning and development, involvement in any local, state or national political activities should be avoided.* [Ref. 38, p. 67] Of course, as was cited previously (p. 112), some community development workers feel that development assistance *can never be non-political,* but must be *apolitical.* [Ref. 71, p. 11]

b) *In viable area (15):* One organization indicated that a project under consideration for support must be in a *viable area,* which may or may not be a function of *geographic location* (Table 21).

c) *Occupational heterogeneity (15):* One organization indicated that development assistance projects which offer a variety of types of employment or involve the utilization of more than one skill are given some preference (Table 21).

d) *Self-help (18):* Six organizations in the study sample indicated that, in considering development assistance projects for selection and support, some preference is given those projects which have elements or principles of *self-help* (Table 21). As cited previously, *the concept of self-help* is *the importance of communities defining their own needs and developing their own solutions.* [Ref. 26] According to CARE, *the best index of a project's success in fostering the principles of self-help is the degree to which it has assisted the*

growth of local leadership and community organization --that is, the degree to which it has helped stimulate a community to engage in on-going activities aimed at meeting local needs and solving local problems. [Ref. 80, p. 2] As cited previously, CRS advocates the planning of projects *at the community level* which *does not seek to provide services for a community, but rather to encourage people to do something about resolving their own problems.* [Ref. 65, p. 41]

e) *Impact (22):* The *potential impact* of the project on the socio-economic development of the recipients of the assistance was cited as an important criterion applied in selecting international development assistance projects by eight organizations in the study sample, as shown in Table 21. According to CIMS/YMCA, *the project should have a visible and definable impact upon the development of the participating countries ... or upon an activity being undertaken to foster that development.* [Ref. 75] Similarly, *CARE projects should, whenever possible, set an example of what can be done with limited outside aid and a local counterpart contribution. Ideally a project should stimulate further cooperation and development within or beyond the immediate community or group of beneficiaries, and serve as a model to others interested in self-help improvements.* [Ref. 80, p. 2]

f) *Timing (25):* As shown in Table 21, five study sample NGO's cited the *timing* of the project in relation to such factors as host country political changes and development goals or seasonal variations and harvest as an important consideration in selecting development assistance projects (see Appendix I). The *timing* of the project discussed here is not to be confused with the *time requirements* of the project, another consideration of development assistance project selection which will be discussed in a subsequent paragraph.

4) Project Organization and Proposal Factors

a) *Type of project (10):* In many instances, the *type of project* in which an organization can and will engage is dictated by the basic philosophy and stated objectives of the organization and may be reflected in the general categories of development assistance in which the organization is involved (Table 7). Eleven of the NGO's in the study sample indicated that the *type of project* proposed (agricultural or housing cooperative, elementary education, government administration reform) is an important consideration in development assistance project selection (Table 21).

b) *Objective (10):* As shown in Figure 13, the *specific goals to be accomplished* are a *major item* required by CODEL *to facilitate the description* (and ultimate selection) *of a* proposed development assistance *project.*[Ref. 66] As shown in Table 21, eight of the study sample NGO's cited a proposed project's *objective* or system of objectives as an important consideration in project selection. Half of these organizations (4) rated the relative priority of a proposed project's objective as a project selection criterion and did so rather highly (Table 21). Furthermore, 11 organizations in the study sample indicated that a project's *system of objectives* is an important factor in the success or failure of the project (Table 24). One CWS report argues *for a structure which allows, at the earliest stage possible in a project's life, quite deep discussion on goals of the project, by all those whose conception of its goals can have an influence on the project's success.*[Ref. 83, p. 22] Similarly, an IVS evaluation report states that *the identification of specific development goals for projects, and a self-evaluation system for reporting progress toward them, is indispensable.*[Ref. 12, p. 12] In its report of a study of the agricultural sector of Barbados, IDS makes the following observations:

The development of agriculture in any country depends to a high degree on finding feasible answers to certain basic management problems--involving selection of specific objectives, the establishment of priorities for effective use of fiscal and other resources, and planned integration and implementation of the various parts of established programmes. The first step in the acceleration of agricultural sector development is the establishment of the major objectives that are desired and feasible under an agreed-upon agricultural policy.

The Phase I literature search unearthed an outline provided by NEF in 1932 for the suggested content of basic project reports to be submitted for each unit project. Of particular interest in this outline, shown as Figure 14, are the objectives which NEF required be stated for each project:

i) Major or ultimate objectives, and

ii) Proximate objectives.[Ref. 84, p. 4] (See Figure 14).

For example, the objectives of an NEF tuberculosis prevention demonstration in Greece were as follows:

i) Major or ultimate objectives: *lifting the level of intelligent combat against disease.* [Ref. 84, p. 7]

ii) Proximate objectives:

- *Actual prevention of tuberculosis and care or isolation of existing respiratory illnesses.*
- *Demonstration of methods applicable under the most difficult living conditions.* [Ref. 84, p. 7]

SUGGESTED CONTENT FOR BASIC PROJECT REPORT

to be submitted for each Unit Project

I. NAME of Project

II. DATE Project BEGAN: (a) Exploratory Project (b) Demonstration

III. Intended DURATION of Project

IV. Name of DIRECTOR

V. Nature of DEMONSTRATION

VI. GEOGRAPHIC LOCATION (County, District, City, Villages)

VII. SPECIFIC LOCATION (Give exact location - street address, camp, section of city, or full list of villages concerned)

VIII. OBJECTIVES of Project
- a. Major or Ultimate Objectives
- b. Proximate Objectives

IX. PROGRAM OF ACTIVITIES
(Program phases and Unit Activities)

X. ADMINISTRATIVE SET-UP
- a. Time Divisions
- b. Schedules
- c. Sub-Projects
- d. Personnel Assigned

XI. Outline of TECHNIQUE and Technical Standards
- a. Major methods
- b. Minor methods

XII. OTHER ACTIVITIES Supervised by Director of this Project
(related to Project, but not integral part thereof)

XIII. What other N.E.F. PROJECTS ARE REACHING SAME PEOPLE as this Project.

XIV. RECORDS KEPT LOCALLY (describe and send sample forms to show detail content)

XV. Persons Reached

Source: Estella T. Weeks. Basic Project Reports of Near East Foundation Projects, 1932. New York: Near East Foundation, 1932.

Fig. 14. Outline of Suggested Content for Basic Project Report Prepared by Survey Bureau, Near East Foundation, September 1931.

When NEF was queried about this format during Phase III, the RTI research team was disappointed to learn that the format was apparently discontinued at some time in the past for reasons unknown to the present administration of the organization. CWS cited a *lack of agreement on* project *goals* as a possible factor in the disruption and/or failure of a development assistance project; *possible causes* of such a lack of agreement included the following:

i) *Lack of communication between people involved at an early enough stage.*

ii) *Lack of consciousness at any or all links, that goals and methods must be agreed and often compromised on.*

iii) *Consequences of this, each link waiting for another to set goals, (or criteria which will imply goals).*

iv) *Fear of entering into a situation of disagreement and conflict where a link's own methods would be challenged.*

v) *Real, unresolvable conflict of methods or goals, caused by rigid position and unwillingness to enter dialogue at all.* [Ref. 83, p. 26]

c) *Units of service (14):* As shown in Table 21, four of the organizations apply, as a criterion in the selection of development assistance projects, an objective measurement of the number of specific *units of service* --the number of personnel required, the number of different services provided, the number of beneficiaries, etc. This may or may not be a function of *magnitude* of the project (see below); some organizations listed both as project selection criteria.

d) *Response to specific Request for Proposal (RFP) (15):* IDS indicated that they often *select* a development assistance project by responding to an interesting and appropriate *RFP;* PAS, on the other hand, stated that they rarely respond to an RFP. PAS prefers to be the sole source for a proposed development assistance effort; they have not found responding to RFP's cost-effective.[Ref. 48]

e) *Magnitude (22):* Eight of the organizations in the study sample cited the *magnitude* of a proposed development assistance project as an important project selection criterion (Table 21), although the differences between magnitude and the aforementioned *units of service* are not completely clear. Some organizations cited both as separate criteria. CIMS/YMCA, in listing *criteria governing selection of a project,* cite *magnitude* fifth, saying *the project should consist of a maximum of fifteen participants from the visiting country and forty-five participants from the host country.*[Ref. 75] CWS states that *the project should benefit as large a number of people as is possible.* [Ref. 38, p. 67] Magnitude may be considered to encompass a *multiplier effect;* according to CRS, *some projects by their very nature tend to have a widening influence.*[Ref. 65, pp. 41-42] To some organizations, *magnitude* implies *scope of activities* or extent of *material accomplishments.* As shown in Table 24, four of the study sample organizations cited a development assistance project's *magnitude* as an important factor in its success or failure.

f) *Overall plan and feasibility (25):* Ten of the NGO's in the study sample cited the *overall plan and feasibility* of a proposed development assistance project as an important project selection criterion (Table 21),

so this criterion is probably more important than the average priority rank of 25 would indicate (Tables 22 and 23). In fact, seven of the organizations in the study sample indicated that they routinely perform *feasibility studies* of proposed development assistance efforts (see next section on Project Operations) and two study sample NGO's cited a *detailed methodology* for project realization as an important factor in determining the success or failure of a development assistance project (Table 24). CWS emphasizes that *the project plan should be simple; the project itself should have a minimum number of component units.* [Ref. 38, p. 68]

g) *Cost/benefits (28):* Eight of the organizations in the study sample cited a consideration of a proposed project's relative *costs* and *benefits* as an important project selection criterion, as shown in Table 21, but only four rated its relative priority as a criterion, with a range of 2-9.

h) *Time (30):* As shown in Table 21, eight study sample NGO's cited the time requirements to complete, implement or realize a development assistance effort as an important project selection criterion. According to CWS, *the project plan should set forth intermediate accomplishment target dates and a fixed terminal date* [Ref. 38, p. 69]; *initially, new program emphasis should be placed on short term projects which will show fast visible growth as against long-developing projects and those with invisible benefits.* [Ref. 38, p. 68] The reader is directed to the word *initially* in the preceding CWS statement, as *most technical assistance . . . is anything but short-term.* [Ref. 46, p. 32] Another CWS report states that *time perspectives for achievement of the overall development goals must be*

definitely long-term. Decades and half-decades may be a more feasible unit for overall planning and expectations. A set of policies for the project must be given adequate time and freedom to mature before they can be justly evaluated or changed. [Ref. 83, p. 11] In citing a *lack of adequate time perspectives* as a factor in possible project disruption or failure, CWS cites the following *possible underlying causes* of such a lack of adequate time perspectives:

i) *Lack of patience.*

ii) *Lack of acceptance of priorities, ultimate concerns, style of operation, methods, of others in relationship.*

iii) *Lack of adequate understanding of this condition of development work.*

iv) *Lack of communication throughout the entire relationship.* [Ref. 83, p. 25]

The prominence of the large endowed foundations in Asia (Ford, Rockefeller, Asia, etc.) *has been earned by the ability to undertake long-term projects at great cost.* [Ref. 1, p. 5]

i) *Provisions for review (33):* As shown in Table 21, three organizations in the study sample cited *provisions for review* as an important criterion in development assistance project selection, but the two that rated its relative priority did so fourth and eighth. According to CWS, *provisions should be made for the evaluation of the project at regular intervals in respect to accomplishments versus the stated goals.* [Ref. 38, p. 69] The Phase I literature search unearthed the following comments on provision for review:

Evaluation procedures should be built into the project from the outset in order to measure progress and results and to make the demonstration as widely helpful as possible. The evaluation should begin with a clear statement of objectives and a careful study of attitudes and conditions. Factors and methods making for success or failure should be assessed at intervals. Some of the indexes recommended for measurement are the degree to which groups of people make their own decisions and the methods used in arriving at them, the development of local leadership, and the extent of participation through the contribution of work, time and money. [Ref. 85, p. 6]

5) Other Considerations

a) *U.S. Foreign Policy (13):* Eleven study sample organizations related definitively to the RTI research team the role which current *U.S. Foreign Policy* plays in their selection or rejection of proposed development assistance projects (Table 21). Nine study sample NGO's indicated that prevailing U.S. Foreign Policy does influence their development assistance project selection; in many cases this consideration resulted directly from U.S. Government financial support of the organization and/or its programs. U.S. Foreign Policy is usually a consideration of the larger foundations due to the generally conservative nature of their businessmen boards of directors. On the other hand, two study sample organizations indicated that U.S. Foreign Policy is *not* considered in their selection of proposed development assistance projects. In some instances, the U.S. State Department has

encouraged NGO's to work in countries where official diplomatic relations are strained or broken in order to maintain a U.S. presence. According to an IVS evaluation report, *both the U.S. Government and most potential receiving countries have increased their concern for maintaining a "low profile" U.S. presence, even when that presence involves Americans not working with U.S. Government agencies.* [Ref. 12, p. 4]

> *Moreover, there are situations or conditions under which governmental action and assistance may be inadvisable, unacceptable or even impossible. In these situations, the voluntary agencies, whose operations are outside of the political arena, frequently in cooperation with indigenous voluntary groupings, are often able to fill the gap, to provide vitally needed aid, to point the way to new forms of service.* [Ref. 86]

The question has been asked, in regard to an IVS training session, *Could it be the U.S. foreign policy was making the world safe for Coca-Cola rather than democracy?* IVS trainees *wondered whether the Philippines had become too Americanized and consequently was struggling to find its own identity.* [Ref. 87, p. 3] Howard Kresge of the Voluntary Agencies Division of A.I.D. cited an instance where the U.S. Government supplied external transportation and communications support to NGO's working in Haiti during an internal domestic crisis in that country at a time when diplomatic relations with the U.S. were suspended. [Ref. 88]

b) *Pilot project preferred (18):* As shown in Table 21, one organization in the study sample indicated that selection of a *pilot project* in development assistance

is preferred and that this consideration is in fact of prime importance in the selection of such projects. As will be seen in the next section on Project Operations, 15 of the study sample NGO's indicated the routine implementation of *pilot projects* in their development assistance operations, but this is not necessarily a consideration in project selection.

c) *Religious considerations (32):* Four of the study sample organizations indicated the application of *religious considerations* in the selection of development assistance projects, while three organizations specifically indicated that no such considerations are applied (Table 21). The only organization which rated the relative priority of such considerations in project selection did so fifth. Interestingly, Msgr. Landi of CRS emphasized that CRS *is not a missionary organization* [Ref. 49], while CWS states that *projects should be of a non-religious nature.* [Ref. 38, p. 67]

As has been demonstrated in this section, the NGO's exert considerable care and effort in the selection of development assistance projects. According to CARE, as cited previously, *"good projects" don't just happen but result from thorough project research, careful project selection, good planning and design, and aggressive follow-up.* [Ref. 64, p. 31] In fact, as shown in Table 24, six of the study sample organizations cited *advance planning* as an important factor in the success or failure of international development assistance projects.

By means of summary and comparison, Table 25 lists the *project selection criteria* which have been discussed in this section in their apparent order of relative importance according to the average rankings provided in the last column of Table 22. These rankings are provided in Table 25, along with the apparent rankings of certain of the criteria as factors influencing

Table 25

COMPARATIVE RATINGS OF PROJECT SELECTION CRITERIA AS CRITERIA AND AS FACTORS INFLUENCING THE SUCCESS OR FAILURE OF DEVELOPMENT ASSISTANCE PROJECTS

Project Selection Criterion	Relative Rank	
	As Project Selection Criterion	As Project Success Factor
Available funding	1	
Felt need (relevance of project/technique to local situation)	2	6
Non-political nature	3	
Availability of qualified personnel	4	1
By invitation or request only	5	
Compatible with host country development goals and planning	6	
Arrangement with host government (host government reaction)	7	8
Political stability of host country area	8	4
Availability of capable local leadership	8	
Availability of local resources	10	2
Type of project	10	
Objective (system of objectives)	10	2
U.S. Foreign policy	13	
Units of service	14	
In viable area	15	
Occupational heterogeneity	15	
Response to Request for Proposal	15	
Self-help	18	
Pilot project preferred	18	
Availability of matching funds	20	2
Ability to become self-supporting and continue	20	
Potential impact	22	
Magnitude	22	11
Geographic location	24	
Overall plan and feasibility (detailed methodology)	25	12
Timing	25	
Organization philosophy	25	
Costs/benefits	28	
Support from host country private sector	28	
Time requirements	30	
Overall capability of host country government and/or recipients	31	
Religious considerations	32	
Provisions for review	33	
Past experience and expertise	34	

Sources: Tables 23 and 24.

project success or failure (from Table 24). *These project selection criteria that are also considered factors influencing the success or failure of development assistance projects are shown in italics in Table 25.* It is evident from Table 25 that if the relative priority of those criteria could be adjusted to reflect their apparent importance as project success factors, the overall relative importance of those criteria would be altered somewhat.

6. Project Operations/Implementation Guidelines

a. General Remarks

Of the 34 NGO's in the study sample, 33 or some 97 percent, supplied RTI directly or indirectly with various information regarding project operations: project implementation and/or operations guidelines and techniques, types of projects undertaken, and other operating characteristics of NGO's involved in international development assistance. Much of this information was subjective and/or derived from literature provided to supplement the questionnaire and/or interview, and varied greatly from organization to organization. Table 26 presents a summary of some of the various and sundry types of operations and/or operating techniques employed by study sample NGO's in international development assistance. These will be discussed in following sections, although some of the personnel aspects have been discussed previously.

b. Operations Guidelines/Implementation Plans

1) ACCION International

ACCION International *subsidizes initial programs working toward the establishment of self-sustaining, urban community action organization in Latin America.* The ACCION International program *consists of a pre-action period of recruitment, training, and orientation of personnel--both domestic and foreign; fund-raising; and selection of sites of action.* Operation phases are as follows:

Table 26

VARIOUS TYPES OF OPERATIONS AND/OR OPERATING TECHNIQUES EMPLOYED BY U.S. NONGOVERNMENT ORGANIZATIONS IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Technique or Type of Operation	Number of Agencies Indicating Use or Involvement
Operating Techniques	
Feasibility Studies	7
Pilot Projects	15
Demonstration Projects	14
Use of Resident Country Director	19
Use of Volunteers	16
Use of Temporary or Part-time Overseas Staff	2
Use of Host Country Nationals	17
Use of Third Country Nationals	10
Use of Outside Consultants	14
Unit System	1
Projects by Contract	16
Recipients Charged for Projects	8
General Types of Projects	
Food-for-Work	4
Urban Projects	16
Rural Projects	18
Both Urban and Rural Projects	15
Total Providing Information	33

a) *Entering and Knowing: A 2-month period in which the field workers find places to live in the favelas* [urban slum or squatter community], *get to know the people, and explain to them the ideas behind ACCION International.*

b) *Initial Projects: A period from 2-4 months of work such as clean-up campaigns or construction of stairways, involving each section of the favela and establishing wide-spread participation and involvement.*

c) *Major Projects: A period from 6-9 months in which favela groups are encouraged to plan and execute such projects as construction of a community school or formation of a small business, and during this period the favela becomes unified and able to make democratic group decisions with the help of self-chosen group leaders.*

d) *Institutionalization: A period in which established committees work together to plan for the future. Integration of the community under one central unifying committee is carried out with advice from field workers* who *gradually leave all aspects of favela development to its inhabitants.* [Ref. 18, p. 117]

This plan was developed and first carried out by ACCION in Venezuela, beginning in 1961. By 1967 the Venezuelan program was *not only independent and locally staffed, administered and financed, but also able to train and send personnel to other countries,* such as Brazil. [Ref. 18, p. 419].

The assumption of *local control of the project,* referred to in the *institutionalization* phase of the ACCION plan outlined above, was cited as a project effectiveness criterion by more study sample organizations (13) than any other criterion and received the highest ratings, as shown in Table 27. In fact, the *ideal* of NEF is *to start each project with the expectation that it will be taken over eventually by the Nationals themselves.*

Table 27

U. S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE: PROJECT EFFECTIVENESS CRITERIA

Criterion	Number of Agencies		Rank*		
	Indicating Use of Criterion	Ranking Importance of Criterion	From Rating by Agency	From Number of Agencies Using Criterion	Average
Local Control of Project Assumed	13	1	1.0	1	1
Development of Local Skills	9	1	1.0	2	2
Fills Felt Need	7	1	1.0	3	3
Demand (Paid) for Services	7	-	-	3	4
Cost/Benefits	7	-	-	3	4
Replication of Pilot Project	6	1	3.0	6	6
Material Accomplishments	4	-	-	7	7
Repayment of Loan	2	-	-	8	8
Withdrawal/Failure of Students	1	-	-	9	9
Total Providing Information	24	4	-	-	-

*Rank: Decreasing Importance with Increasing Number.

[Ref. 89] (Table 27 presents a list of *project effectiveness criteria* applied by NGO's in evaluating the success of a project in international development assistance; the number of organizations citing the criterion and rating the relative importance of the criterion; the relative rankings *by the organizations providing a rating* and *by the number of organizations citing the criterion;* and an overall average rank.)

2) CARE

CARE's planning and operations structure is concisely described as follows:

CARE's plans and policies are directed by its Board of Directors. Operations are the responsibility of the Executive Director, who is assisted by two Deputy Executive Directors and five Assistant Executive Directors. Functional responsibilities are divided among six major departments:

1) Overseas Operations Department
2) Program Department
3) MEDICO
4) Public and Donor Relations Department
5) Procurement Department
6) Financial Control Department (see Figure 10).

The Program Department of CARE has the following responsibilities:

1) Develop programming policies and procedures.
2) Review program and project proposals submitted by overseas missions.
3) Approve or disapprove proposals in the light of established programming criteria.
4) Supervise and coordinate the processing and implementation of approved projects.
5) Evaluate the programming performance [Ref. 31].

Such careful *advance planning* was cited by six study sample NGO's as an important factor in determining the success of development assistance projects (Table 24).

3) Near East Foundation

> *Each undertaking begins with a study of the problem. Thereafter, in cooperation with the people of the country it goes through an exploratory period during which various techniques are tested for the purpose of finding the best for the particular problem in hand. When a sufficiently satisfactory program is developed the demonstration period begins. This is intended to arouse public interest and to prove the value of the recommended program. Finally, to be regarded as a successful demonstration the transition must be made from a project that is partially supported by American funds to one that draws its vitality, its financial support, and its leadership wholly from the people it is designed to serve.* [Ref. 89]

> *The Foundation has learned that the indispensable prelude to any country-wide program is a limited pilot project where the lessons of rural needs can be learned, the inevitable mistakes confined to a small area, and the first national technicians trained. Only after some three or four years of experience is it possible to design, staff, and provide government administration for a national operation. A program launched on this basis actually progresses further in national terms in five years than one started on a more gradiose scale.* [Ref. 72, pp. 7,8]

H. B. Allen of NEF advocated the following guidelines in implementing development assistance projects

a) *Introduce a few simple improved practices.*

b) *Adapt procedures to the local situation.*

c) *Operate through local leaders.*

d) *On-the-job training.*

e) *The use of the field demonstration* [Ref. 90, pp. 4-12].

The features of NEF project operations cited in the preceding paragraphs conform generally to the findings of this reaearch effort regarding project planning and implementation by NGO's. *On-the-job training* was discussed under *Personnel Policies*. The *availability of capable local leadership* was cited by 15 of the study sample NGO's as a project selection criterion (Table 22) while the *relevance of the project or technique to the local situation* was cited by four study sample organizations as a

factor important in determining the success or failure of development assistance projects (Table 24)

As shown in Table 26, 15 of the study sample organizations employ *pilot projects* in their development assistance operations while 14 make such use of *demonstration projects*. Six organizations in the study sample cited the *replication of a pilot project* as a measure of the project's effectiveness, as shown in Table 27. In this context, *pilot project* refers to an initial small-scale development effort usually in an underdeveloped area where the NGO has not previously worked, while *demonstration project* refers to the introduction of some innovative technique or product.

4) Education and World Affairs (EWA)

In discussing the scale of U. S. universities in international development assistance, Richard Wood recommends the following *guidelines for the field team:*

a) *Review and agree on (or modify) all decisions reached in previous discussions.*

b) *Assign responsibility and authority.*

   i) *Identify the three key people in the administration of the project, and outline their assignments.*

   ii) *Delegate operating authority and responsibility in the field.*

   iii) *Discuss the proper role of the U. S. Field staff in the host country: "Operations or Advice".*

c) *Consider best location for project in the host country.*

d) *Establish schedules showing timing of inputs and expected major results.*

e) *Make general review of staffing plan and procedures.*

f) *Make provision for adequate communications among all concerned.* [Ref. 91, pp. 29-46]

Features of the above *guidelines* have been discussed previously as *project selection criteria (geographic location* or location *in viable area, timing* and *time requirements,* and *provisions for review).* With regard to *personnel,* Wood states:

Related to and towering over all other factors in importance are the people who are entrusted with the task of carrying out the project. The capabilities they bring to the task, along with the extent to which they receive clear and challenging job assignments, and are given support to use their judgment, have more to do than anything else with whether the project will lead to satisfactory or unsatisfactory results. [Ref. 91, pp. 77-78]

In reference to the relevance of projects and/or techniques to the local situation, Wood states that the process of international development assistance is *a process of developing know-how - a process of finding out what will work in Nigeria, not of transferring what has been found to work in Nebraska.* [Ref. 91, p. 57]. Similarly, an outstanding Nigerian civil servant has said:

From the British point of view, a first-class brain, particularly if produced by Oxford or Cambridge, can, without any special training, govern anybody and anything in the world. What seems to work for them does not do so for us. [Ref. 92, p. 21]

Wood in the EWA report, cites that each project should be *based first on a careful field study of the community and, second, on the nurturing of responsibility and initiative within the community itself, rather than importing some alien and transitory institutions from without.* [Ref. 91, p. 56]

Arthur T. Mosher, President of ADC, *has suggested that the most effective way for the field staff to go about doing its job is through what he has called "local adaptive research." In advocating this process, he stresses the fact that lasting solutions to the problems of any country must generally be developed to fit the needs of the particular situation, and must be worked out with the full participation of the local people who must live with the solution. Because of this he has suggested that it would be better if "outsiders" did not have a ready-made answer to any problem ahead of time, and thus had to work it out in collabora-*

tion with their host country counterparts--through the process of "local adaptive research," based on experimentation at the project site. [Ref. 91, p. 55]. *Planning must be thought of as continuing throughout the life of the project, carried out by means of "local adaptive research," centered at the project site.* [Ref. 91, p. 77]

Wood feels that *it is of critical importance that those in authority be persuaded to take the risks involved in achieving the proper amount of decentralization. Otherwise, implementation of the project is bound to suffer from the loss of the major driving force toward accomplishment: the force unleashed by encouraging people to use their judgment, initiative and creativity in doing things they believe to be important.* [Ref. 91, p. 55]. A point is reached in the project development process, according to Wood, where officials must have the *administrative wisdom to make only one more decision: that they will stop making further decisions about how the project shall be run--at least for the time being.* [Ref. 91, p. 54]. *Where the stakes appear high enough, an act of faith in certain future developments may often be justified. The thoughtful assumption of risk, however, should not be confused with mere hope and rationalization. It is inexcusable to continue using old hit or miss techniques, now that experience has pointed out how these may be improved.* Procedures should be set up *which, if carefully and thoughtfully followed, should help to clarify the risks, in order that those taken will be of reasonable proportions.* [Ref. 91, p. 76]

5) Other Implementation Procedures and Guidelines

In initiating its development assistance projects, ACDI conducts consultation in the host country, followed by consultation at their home office in Washington, D.C., then implements a feasibility study. [Ref. 93]. As shown in Table 26, seven of the organizations in the study sample employ *feasibility studies* in their development assistance efforts. For example, CDF advocates a *manpower survey* at the project site to assess the avail-

ability of local labor, etc. [Ref. 54, p. 4]. The *availability of local resources* has, of course, been cited both as an important project selection criterion and an important factor regulating the success of a development assistance effort. (Table 25)

> *On arrival overseas, the* IESC *executive volunteer checks the project request against his own first-hand study of the operation. Then he describes the problem in terms acceptable to both himself and the client and prepares a plan for attacking it. Only then does he begin proposing solutions.* [Ref. 94, p. 8]

According to IESC, *one of the problems encountered by almost every volunteer is that of language* [Ref. 90, p. 7]. *Another problem encountered by IESC counselors is the proliferation of local laws which often hamper the implementation of techniques.* [Ref. 95]. CDF stresses that *it is helpful to have one particular kind of information before starting to work in a community: this is a general idea of the political or factional structure.* [Ref. 47, p. 3].

A CWS report emphasizes that *once the momentum of development has been increased all possible provision must be made for maintaining it smoothly.* [Ref. 83, p. 12].

Jimmy Yen, the founder of IIRR considers that *any program for the underdeveloped must be a grass-root movement indigenously led, indigenously accomplished, giving a challenge and a stake to every man, woman, and youth.* [Ref. 22, p. 2]. *Outsiders can help but insiders must do the job.* [Ref. 96]. The importance of *self-help* as a project selection criterion has been cited previously (Table 22); 22 of the study sample NGO's (some 65 percent) cite some element of self-help in their basic philosophy. According to one organization not in the study sample, *the well-being of any society depends in large measure on how wisely it makes use of its natural resources and its natural environment.* [Ref. 97, p. 6]. In discussing development assistance projects under contract

to A.I.D., Wood states that *the key party in the situation is the host government,* not A.I.D. or the contractor. *The problems of the developing nation cannot, in any fundamental sense, be solved from the outside. It must ultimately save itself, be itself.* [Ref. 91, p. 79]. The importance of the arrangements with, and the reactions of, the host government in project selection and success has been discussed previously (Table 25).

The role of the general political climate in and around the host country and/or project site in project selection and success, and even obtaining personnel, has also been discussed previously and presented in Tables 21-25. The effects of the host country political climate on project operations is particularly evident in Southeast Asia, where, according to an IVS report, *it is impossible to declare with certainty that any foreigner is safe anywhere in Laos.* [Ref. 79, p. 7]. *All IVSers have now been withdrawn from outlying areas to urban centers. Some are doing work that meet criterion established in view of insecurity: residence in an urban center.* [Ref. 79, p. 16]. However, IVS does go on to state that *once the people of these areas have seen how we can help them improve their living standards, security becomes less of a problem.* [Ref. 98, p. 17].

As shown in Table 24, two study sample NGO's cited the maintenance of a *systematic record* of project activities as an important factor in determining the success or failure of a project. According to an IVS evaluation report, *a common failing of volunteer programs and other efforts addressed to goals less tangible than private profit or demonstrable public benefits is that systematic collection and tabulation of program results information is neglected.* [Ref. 12, p. 12].

c. Financial Arrangements

As shown in Table 26, 16 of the organizations in the study sample conduct some portion of their development assistance under

contract to some other agency, such as A.I.D., the host country government, or another NGO. Also, as has been discussed previously, eight of the study sample NGO's *charge* the recipients of the development assistance something, however small. Seven NGO's in the study sample indicated that the *demand for their services* is one measure of their overall effectiveness, and an indication of this *demand* is the willingness of the recipients to pay for those services. (Table 27).

In a speech to the 20th Century Club in January 1971, Sy Rotter of PADF described *the only complete self-help foreign aid program:*

> *A program in which the people plan their own projects, contribute their own labor, borrow money at normal commercial interest rates, pay a fee for the administration of their loan, and repay their loan in pennies per day in accordance with their ability and capability. The "penny approach to development."* [Ref. 39, p. 1]

The *repayment of such loans* was cited by two organizations as an indication of project effectiveness (Table 27). This is particularly true of organizations involved more in project support than project operations, but the loan as opposed to the gift is, as has been discussed previously, part of the philosophy of preserving the self-respect of recipients of assistance. *The dignity of the individual must always be safeguarded.* [Ref. 99, p. IX-1].

According to Francis X. Sutton of the Ford Foundation, the American Foundations' *freedom of choice among objectives and the necessity for careful choice offer protection against their being helpful in offensive ways. The pursuit of development free from the political considerations that beset many assistance programs makes the choice of feasible and important objectives simpler. The projects ultimately selected must be ones that the developing country genuinely wants and that both it and the foundation believe*

can be effectively executed. The most effective forms of assistance are those which ask something of the receiving country, as they do of the agency providing assistance. [Ref. 100, p. 7]. The importance placed on *felt need*, project *objectives*, and a *non-political* attitude in this statement are evident.

d. Types of Projects

The general categories of development assistance in which the study sample organizations are interested and/or involved have been discussed in a previous section (see Table 7). This section addresses itself to some of the types of projects and techniques employed by the study sample NGO's in achieving their development assistance goals.

1) Food-for-Work Projects

As shown in Table 26, four organizations in the study sample cited the utilization of *Food-for-Work* in development assistance. In Food-for-Work, the concept of self-help is furthered as local recipients are paid in food for labor on various types of community development efforts. The food is often available under Public Law 480, supplied by the U.S. Government *after American needs have been met.* [Ref. 31, p. 4]. Table 28 presents a listing of different projects completed in El Salvador in Fiscal Year 1970 by CRS using the Food-for-Work technique; the number of workers, their dependents and the total beneficiaries are shown.

2) Urban versus Rural Projects

As shown in Table 26, 16 of the study sample NGO's indicated involvement in *urban* development assistance projects; 18 (or approximately 53 percent) of the study sample organizations are involved in *rural* development assistance projects; and 15 of the organizations in the study sample indicated involvement in development assistance projects in both urban and rural areas. In discussing the differences in problems confronting development assistance projects in urban and rural areas, CARE presents the following argument:

Table 28

FOOD-FOR-WORK PROJECTS SUPPORTED BY CATHOLIC RELIEF SERVICES IN EL SALVADOR, FISCAL YEAR 1970

Type of Project	Number of Workers	Number of Dependents	Total Beneficiaries
Access Roads	4,200	21,000	25,200
Agricultural Training	1,302	6,510	7,812
School Construction and Repair	601	3,005	3,606
Sewing Classes	497	2,485	2,982
School Lunch Volunteers	321	1,605	1,926
Community Center Construction	290	1,450	1,740
Latrines	249	1,245	1,494
Literacy	129	645	774
Home Improvement	114	570	684
Well Construction	106	530	636
Nutrition-Hygiene Education	100	500	600
Reforestation	100	500	600
Potable Water	80	400	480
Bridge Construction and Repair	72	360	432
Clinic Construction and Repair	98	490	588
Retainer Wall Construction	50	250	300
Handicrafts	23	115	138
Park Beautification	10	50	60
Totals	8,342	41,710	50,052

Source: Catholic Relief Services - U. S. C. C. *Annual Summary of Activities - El Salvador, Fiscal Year 1970*. El Salvador: Catholic Relief Services, August 1, 1970.

In the rural setting the challenge is one of helping the community to organize its local resources, assisting it to attain higher levels of production, and stimulating positive attitudes toward development and self-reliance. In the urban setting the major challenge is that of helping to provide the uprooted, over-mobile, highly alienated population with the opportunities necessary to build a social infrastructure that can ensure social stability and meet economic, social, and individual needs. These needs, a consequence of the unplanned, uncontrolled urbanization that is taking place in the urban centers of the developing countries, are staggering and include basic literacy and vocational education, improved housing, sanitation, health facilities, community organization and recreation, etc. A balanced program of development requires potentialities for assistance in the urban as well as the rural setting. [Ref. 68, p. 4].

3) Education and Training Projects

In addition to the education projects in which the NGO's are involved in academic teaching in elementary and secondary schools and colleges, and the provision of facilities for such activities, many of the NGO's in the study sample are involved in education and training at various levels as specific projects or in support of projects. For example, some of these projects are directed at increasing manpower in the host country in a specific area; others are directed at instructing the indigenous population in the techniques or principles of family planning, nutrition, sanitation, community development, etc. Even participation in self-help community development projects is training in itself; *doing all this for themselves, the people develop cooperation - an indispensable training for economic development and for later political education.* [Ref. 101, p. 6].

In a community development course taught by an IVS volunteer in Laos, *the students are first taught to remark the*

natural, human, and financial resources of their community (e.g. sand and gravel, carpenters and weavers, merchants or other wealthy citizens). Then they are taught to analyze the needs of their community; for example: wells, schools, a village council or PTA, or a cooperative marketing structure. Once resources and needs have been ascertained through observation and inquiry, the class is ready to begin to learn how to go about using the resources of the collectivity. (i.e. village or urban neighborhood) to satisfy its needs. The content of the course was organized around the three basis purposes of the course: a) to show the student what community development is, and how to do it; b) to show the students why they should try to do community development; and c) to give the students practical experience in working on self-help projects [Ref. 23, pp. 6-7].

Again, note the emphasis given the *availability of local resources, need,* and the concept of *self-help.*

The application of education techniques in the implementation of projects in health, nutrition and family planning has proven to be very effective. For example, CRS personnel have found that organization of preschool health programs *toward the goal of "graduation" with appropriate ceremonies is very effective.* [Ref. 102, p. 1]. Similarly, *detailed explanations about the value of vitamins and the vitamin content of different foods have not proved nearly as useful as some simple similes, for example, comparing building young bodies to building a house.* [Ref. 102, p. 1].

Appendix K presents an outline of a filmstrip employed by WN in family planning.

Training to increase host country manpower competent or efficient in some area usually essential to socioeconomic development may *be categorized on the basis of location:* (1) that which trains personnel *outside the recipient country* and (2) that which provides training and assistance *at*

the point of operations. The training that is provided outside the recipient country further falls into the three major areas of (1) formal academic work, (2) general observation tours that may or may not be combined with formal training programs, and (3) job placement in which the trainee is given an opportunity to work in a relevant and appropriate area. [Ref. 13, p. 90]. One organization involved in such training cited the progress or failure of the students in such a program as one measure of effectiveness of the program (Table 27).

e. The Role of Development Assistance Personnel

The role of development assistance personnel in international development assistance efforts has been the subject of considerable discussion and controversy. Some disagreement over the role of development assistance personnel stems from the philosophy, interests, or emphasis of the various organizations or the levels of personnel employed. The different usage of the term *volunteer* has been discussed previously; an IVS evaluation report emphasizes that *the line between volunteers and conventional technical assistance is not clear-cut. The current project in Morocco, now using experienced range managers instead of volunteers, opens the possibility of supplying returned volunteers and others as contract technicians.* [Ref. 12, p. 29].

Most of the NGO's stress a cooperative working relationship for their personnel and organizations to provide *advice* and *assistance,* although this is verbalized in different ways. CDF emphasizes that the community development worker should be a *helper, not leader* [Ref. 54, p. 3]. According to IESC, their volunteers are *to advise, not manage* the host country industries to which IESC provides development assistance. [Ref. 103, p. 8]. The Rockefeller Foundation goes into development assistance *not as advisors but as working colleagues,* and pursues *a good working relationship* [Ref. 104].

The Pearson Report, even in its reserved language is unequivocal on advice-giving:

"It is natural therefore that aid-providers are particularly interested in whether recipients make sincere efforts to help themselves or whether the resources put at their disposal are wasted. However, this interest, unless carefully limited and institutionalized, creates opportunities for friction, waste of energy, and mutual irritation. Any such relationship must involve advice, consultation and persuasion, but there must be clear and accepted channels for this, and an equally clear distinction between the responsibilities of the partners". [Ref. 83, p. 16].

According to PAS, *the adviser, in whatever capacity, has several different roles. He must be an expert, a teacher, and a catalyst. He obviously must be competent in the field, not only possessing technical knowledge but also ability to adapt techniques to local environments. Whether or not he has any formal training responsibilities, he must recognize that transfer of his knowledge is an essential part of any effort. The adviser's proper concern to get a job finished should never exclude attention to training.* [Ref. 13, pp. 98-99]. According to one IVS worker, *the term "Advisor" is a psychological handicap in itself. It indicates that there must be some deficiency with the system or there would not be an advisor present. Such help to diminish pride and enthusiasm of those in the system receiving an advisor. Maybe terms such as "co-worker" or "special assistant" would be more appropriate.* [Ref. 105, p. 5].

The importance of training for development assistance personnel has been discussed in a preceding section. However, again PAS emphasizes that *expertness in providing technical*

assistance has to be acquired; it does not automatically come from experience in another time and place. [Ref. 13, p. 100].

The ultimate objective of IIRR training *is not simply to produce better technicians but reoriented personalities with new values and new outlooks. When such men return to their own countries, they will be capable of generating a new movement that will become a real force in the reshaping of their rural societies. Living in an international community that reflects the IIRR's philosophy, they will also carry back to their respective countries not a jingoistic, but an international outlook and spirit.*

> *For the "specialists", the main purpose of the orientation is to prepare them to play the creative role of a "science-simplifier," by stimulating them to explore new technical and social approaches to help bridge the gap between modern science and technology on the one hand, and the peasantry on the other.*
>
> *For the "college graduates", the main purpose is to train them to become "science missioners," to carry the simplified scientific knowledge and skills to the villagers. Trained not only in the technical know-how, they will be better equipped to develop rapport with the village people, motivate them to experiment with new ideas, and mobilize them for joint endeavors.* [Ref. 106].

According to CDF, *any organization has many of the same problems as the community it serves: problems of leadership, participation and communication. CDF believes that for an organization to be effective in the community, its staff members must:*

- *Thoroughly understand its objectives and programs and their role within it.*
- *Understand patterns of human behavior and know how to work with many kinds of people.*
- *Understand themselves: their own motivations, values and needs.*
- *Understand the basic principles of successful group action.* [Ref. 107].

The single most important quality of a good field worker is his ability to respond to people on a basis of friendly equality and to stimulate them in a way that helps them to build faith in themselves... to be a natural person, at ease with oneself and others. This demands humility. It sometimes demands an appreciation of values other than his own. [Ref. 47, p. 1]. *The details of community development work are carried out in many different ways by individual workers. However, the following is a list of procedures which form a general guide for community development workers:*

1) *get to know the community - the people, the leaders, and the resources.*
2) *help the people to identify the community problems.*
3) *assist the community in deciding which are the most important community problems.*
4) *aid in the formation of a group to study the details of the most important problems.*
5) *work with the group members to develop their skills in problem-solving and leadership.*
6) *develop within the group members the abilities necessary to carry on future projects without the help of a community worker.*

Thus, you can see that it is not only the PROJECT, but also the PROCESS that is important in the work of a community developer. [Ref. 35, p. 2]. *Usually, people respond to a community development program for one of two reasons: (a) they see the program operating in another community or hear about it from an individual they respect, and solicits its help, often for a project they already have in mind; or (b) the CDW explains the merits of the program of self-help to them. If a village starts a project according to the first method, it has a very good chance for success, as the people have already thought about their situa-*

tion and taken action to seek help. By the time the outreach worker meets them, they are sufficiently involved to want to succeed. If the project starts by the second method, the field worker will have to work much harder in order to succeed. Under whatever system a project is started, however, there are usually several distinct steps involved in setting up a project. These are as follows:

1) Visiting the area - getting information and making contacts.
2) Creating interest.
3) Meeting with the people in the area, to discuss ideas for projects.
4) Choosing the project.
5) Helping to administer the project.

Steps 1 and 2 above may be reversed depending on whether the field worker stimulates the interest himself or comes in response to an invitation. Often he can stimulate the interest most effectively by not even going to the area, but by talking with someone who is already known and respected there. This person might be a local schoolteacher, a nurse or a religious leader. This person then goes back to the area, talks with key people about the program, and without any expenditure of the CDW's time, arouses enough interest so that the CDW will receive an invitation to visit. When this happens, much of the CDW's work is already done when he arrives at the community for the first time. If this is not done, he will have the following objectives when he makes his first visit:

1) To get to know the area: its size, economy and level of living, its obvious problems and its political structure;

2) *To meet the local leaders and to get to know, at least, casually, as many of the other people who live there as possible;*

3) *To plant the seed that will set the people thinking about their problems and what they can do to solve them.* [Ref. 47, p. 2].

Many of these community development assistance principles and guidelines are echoed in the literature and procedures of other organizations. For example, *Jimmy Yen's unbeatable formula for "building democracy from the bottom up"* at IIRR *has been simple and beeline direct: "Go to the people. Live among them. Learn from them. Plan with them. Start with what they know, and build on what they have."* [Ref. 108, p. 3].

The IIRR field worker *is an educated, highly motivated young man or woman who, after previous months of broad, intensive training,*

1) *Lives and works full-time in a village, normally boarding with a farm family;*

2) *Wins acceptance and trust in the community, and comes to know its people well;*

3) *As a friend, consistently respects their dignity, their intelligence, and their unrealized potentialities;*

4) *Learns to serve as an effective bridge between them and the outer world of science and technology that has so much to offer them, but about which they know so little;*

5) *Learns, too, how to give the village people - men, women, and youth - skillful leadership, counsel, and assistance in mobilizing their own efforts through self-help programs; and,*

6) *While living a rigorous life in Spartan surroundings, separated much of the time from colleagues and inti-*

mate friends, is able to withstand moments of loneliness and discouragement. [Ref. 109, p. viii]

The IVS concern for understanding of the culture and for avoidance of ostentatious living and other offensive behavior, integral to the people-to-people approach, encourages a broad and positive experience for volunteers without sacrificing professional impact. [Ref. 79, p. 25].

Furthermore, according to IVS, *frequently the presence of an American advisor may be a liability, unless he has attitudes appropriate to the situation.* [Ref. 105, p. 5].

In another example, the development personnel's *first effort was to learn to know and be accepted by the people with whom they were to work. Their approach to community organization was to be flexible, growing out of the needs of each situation. They were to build on local customs and associations. Wherever possible people were to be encouraged to use their already established organizations, adapting them to meet new needs. The development of new organizations was not be be encouraged unless they were essential to specific purposes.* [Ref. 110, p. 2].

As was discussed in a previous section, the average length of overseas assignment for personnel employed by study sample NGO's in international development assistance is just over two years. According to one IVS observer, *unfortunately the system in which many of our advisors work does not encourage long tours of four or five years. If a person works in a country for a longer period of time he should be worth more because he knows the area better. I don't know how a man can go into an area for only six months and do an effective job in this period of time unless he is a real whiz.* [Ref. 105, p. 8]. According to another IVS writer, much development assistance follows a certain *"Conventional Wisdom": A CD (Community Develop-*

ment) worker carefully studies the community to figure out the various felt needs of its people. If there is local initiative available to meet "real needs", he tries to help by participating in self-help projects: build a school, dig some latrines, or start a few agricultural projects in the space of a two-year tour. This "individual-project orientation" serves to turn "felt needs" into accomplished projects through self-help. The writer is opposed to this "conventional wisdom". The primary goal of CD work is not piece-meal projects of a community institution which can act as a vehicle for the socioeconomic development of a community. Economic and social development of a community is usually a long-run process covering several decades. CD workers cannot possibly be present during this extended period of time. Consequently, they should work to build a mechanism for this sustained development such as a community institution. It is best if the people tackle the problem on their own in the true spirit of self-help, with the CD worker assisting in organizational work at the initial stage. The CD worker can help to develop a spirit of co-operation on the part of the people by showing the need for and benefit of co-operation through some communal projects. A community organization which can become a developmental tool must be sought. The CD worker can help re-organize and strengthen the existing "community council" indigenous structure, or set up co-operatives, or promote private and informal associations of people. As mentioned above, this type of organizational work can only be done through various piece-meal projects. Institution-building work at a fairly advanced level involves training the people, formally or informally, in simple economics and in the art of development planning. In other words, institution-building work involves development of human resources: organizations and groups of people

in a given community. This approach to community development truly involves people and develops leadership. [Ref. 111, p. 15].

Rather than just help build a few schools and dig wells or introduce something new, why not, in so doing, help build the community's organizational structure, equipped with some modern accounting, which without outsider's help, can go on planning and executing all the conceivable projects on its on? Co-operatives have the modern structure and legal support that is more conducive to development than any other CD strategy. It is not a strategy of weeks or months, but is the kind of strategy most appropriate for IVSers and other CD workers. This is an institution-building concept: co-operatives as a development tool. [Ref. 111, p. 16].

The importance of the attitudes and approaches of development assistance personnel and the resulting effects on the progress and success of development assistance projects is exemplified in the following citation from NEF:

> *Several years ago two American technicians were assigned to organize rural cooperatives. Each worked in separate selected areas. The mechanics of organization under the supervision of each technician were similar, but the methods used in working with the indigenous members of the cooperatives were entirely different.*
>
> *One advisor stated his modus operandi in this way:*
>
> > *"You must manage a cooperative by direct operation; this includes an active role in supervising and directing the affairs of the cooperative. It includes making decisions and convincing reluctant members to accept the decisions and policies."*
>
> *The second technician expressed his philosophy of the systems as follows:*
>
> > *"You must get behind the cooperative members and push them along in their*

leadership roles. When they fail or fall down, pick them up, review their mistake, but keep all responsibility, management, and decisionmaking in their hands."

The latter cooperative appeared to be less organized and had several major setbacks. As time went by, however, this cooperative grew stronger, requiring less and less assistance from the American technician. [Ref. 72, p. 124].

Upon withdrawl of technical assistance, the cooperative with direct supervision by the advisor *suffered severely from lack of local leadership and almost lost the confidence of the membership.* [Ref. 72, p. 124].

As shown in Table 24, two study sample organizations cited the *perception* of a development assistance project or the personnel involved by the recipients as a factor in the success or failure of the project. Along these lines, two comments might well be remembered: J. George Harrar commented that *fundamental change evokes fundamental fears* [Ref. 112, p. xix], while an IVS observer has remarked that *development always involves a risk, and people on the margins are seldom willing to take a risk.* [Ref. 111, p. 18]. Or, as John Peters of WN has said, *Hunger has its own peculiar logic* [Ref. 73, p. 5].

f. Other Characteristics of Nongovernment Organizations Affecting Project Operations

Throughout this discussion, the recurrent mention or emphasis of certain of the project selection criteria or success factors shown in Table 25 has been notable: the *felt need* and *capable local leadership; etc.* As an ACVA statement *so aptly put it, voluntary agencies are in an enviable position since they live with the people, they have simple structures, they serve the deep-felt needs of the people and they act on what the people themselves consider their priorities.* [Ref. 25, p. 4].

In addition, there are certain other general characteristics of nongovernment organizations which have been cited by various study sample NGO's as influencing the success or failure of development assistance projects, but not involved in development assistance as project selection criteria: *continuity*, the *lack of constraining accountability*, and organization *flexibility*. These are shown in Table 24 and will be discussed in following paragraphs.

1) *Continuity:* As shown in Table 24, seven organizations in the study sample cited the *continuity* of nongovernment organizations as a factor important in the success of NGO development assistance efforts. As NEF has remarked, one *favorable factor of the voluntary agency is continuity. Government aid must operate under certain liabilities in this respect;* being *dependent on annual Congressional action* makes it *impossible to plan far into the future or undertake commitments which run for more than two or three years. Yet most technical assistance projects take more time. New types of indigenous specialists must be developed and institutions formed to train them. Because a voluntary agency goes into a country to stay as long as required, it is not pressed to produce dramatic results justifying continued appropriation, and can begin its work on a modest scale. While making a preliminary study, its technicians and program definers will accumulate an unusual body of experience and skill. Allied to continuity of operations is the competence of staff and the programming the staff develops. While most technicians (government and private) are carefully selected, it takes more than American professional training and experience to produce effectiveness in a foreign scene.* [Ref. 72, pp. 6-7]. Similarly, *the small num-*

ber and the continuity of personnel enable the Asia Foundation *to have a good organizational memory. This helps avoid repeating mistakes. Certain kinds of projects and certain kinds of mistakes have a way of c opping up in other countries after they have occurred in one country.* [Ref. 113, p. 10].

2) *Accountability:* Two organizations in the study sample cited the *lack of constraining fiscal accountability* on the part of NGO's as another factor influencing the success of development assistance projects operated or supported by the NGO's (Table 24). For example, *foundations have the advantage that they are not, like the U.S. Government, geared to an annual budget which is subject to constant review and change.* [Ref. 114, p. 2]. The *continuity* cited in the preceding section and this lack of fiscal *accountability* are closely related.

> *Changing circumstances at home and abroad give new importance to the role of private American institutions in Asian development. U.S. Government foreign assistance activities suffer from the competition for funds. In Asia, political pressures generated by the conflict in Vietnam and heightened nationalism make official government-to-government relations with the United States increasingly sensitive. In this situation, established private American organizations working abroad represent continuity of our country's concern with Asian problems.* [Ref. 1, p. 1].

3) *Flexibility:* As shown in Table 24, seven study sample organizations cited the *flexibility* that is enjoyed by NGO's generally in their operations as another factor influencing the success or failure of development assistance projects. This *flexibility* is further re-

lated to the *continuity* and *accountability* factors cited in the preceding paragraphs. These three factors are functions of the organizational philosophy, structure and operations of the NGO's.

According to Emory W. Morris of the Kellogg Foundation, *flexibility must always be our concern. There are problems that can best be solved by private foundations because we can be flexible, we have the ability to make commitments over a considerable period of time, we have freedom from political complications and pressures, and we have dedicated trustees willing to assume the risk of venturesome, pioneering, experimental programs that have great potential. Through the years, because our programs have been experimental, we've experienced some failures-we learned what wouldn't work but sometimes failures pointed to successful new applications.* [Ref. 11, p. 4].

Alan Pifer of CCNY cited qualities of many private organizations which an alert federal administration needs. These *include the capacity to move swiftly, flexibly, and imaginatively into a new area of critical need; the power to arrive at a disinterested, objective appraisal of a situation free of political influence; the freedom to engage in controversial activities; the ability to experiment in an unfettered manner--and if need be fail; and finally the capacity for sympathetic personal attention to the variety of human problems that beset our increasingly dehumanized world.* [Ref. 9, p. 7].

According to Rudolf Peterson, writing in The Asia Foundation Program Quarterly, *it is not so much the amounts of money in grants which is of greatest importance, but the fact that the Foundation can respond so rapidly to unexpected opportunities and needs when a few dollars at the right time and the right place produces enormous, far-reaching, and proliferating results.*

[Ref. 115, p. 10]. According to James Noyes, also writing in The Asia Foundation Program Quarterly, *there is flexibility, informality, and professionalism in private organizations, a difficult project can be addressed on its own merits without fear that failure, adverse publicity, or for that matter, striking success, will involve the whole substance and panoply of government-to-government relationships. The combination of smaller project dimensions, relatively modest resources, and dedication to risk-taking give them* [private institutions] *distinct advantages. The variety and range of American private institutions give the American effort in Asia much of its strength. The unrestricted funds which these institutions can apply to key problems foster inspiration. The U.S. private sector has special capability, beyond the usual reach of typical government-to-government programs, to:*

(a) address the social and civic aspects of development now so crucial in Asia by applying relatively small amounts of assistance sensitivity, quickly, and flexibly;

(b) develop continuing professional relationships between Asians and Americans as well as among Asians;

(c) mobilize voluntary contributions of time and material from a rich variety of sources;

(d) encourage and strengthen Asian private and voluntary organizations;

(e) support innovative projects sponsored by Asian governmental or quasi-governmental institutions that would otherwise not be ventured due to finan-

cial stringency and budget inflexibility. [Ref. 1, pp. 4-7].

According to TAICH, it is the *ability to respond with the necessary kinds of assistance and to provide a wide range of assistance projects that has made the voluntary agency contribution so important in terms of human development.* [Ref. 19, p. vi].

> *The contributions of U.S. Voluntary non-profit organizations in the field of overseas development assistance provide a significant counterpart to governmental and intergovernmental efforts. The programs of these groups can often provide an elasticity and ability to adapt resources to needs of particular areas not usually possible in large governmental programs. And most important, the development of human resources which is a necessary corollary to the development of material resources is a goal particularly well suited to the activities and approaches which characterize the work of these agencies. It is in the sense not only of the transferring of skills and the fostering of self-motivation and involvement on the part of less developed communities, but of producing the basic salutary conditions in which such a process can be carried on that we have defined technical assistance. The techniques used and the general approaches are themselves in constant evolution toward emphasis on cooperative self-help and self-improvement.* [Ref. 16, p. v]

The Most Rev. Edward E. Swanstrom of CRS has commented that *voluntary agencies have a special role because their non-nationalist motives often render them more acceptable. They concretize the concern of the people for other people--as people, as human beings--not as nations or blocks or power groups. These people-to-people projects can be more flexible and experimental then those sponsored di-*

rectly by governments. They often pioneer pilot programs which, when proven out, are then expanded by government assistance. [Ref. 10, p. 7]. *The private agency's informal, people-to-people approach is more adaptable and otherwise more acceptable than the formal government approach.* [Ref. 72].

g. Cooperation with Government and Other Nongovernment Agencies

Throughout this discussion, and the research effort which preceded it, the RTI research team has been most favorably impressed with the levels of cooperation and coordination that exist between the various NGO's and between the NGO's and U.S. Government agencies, host country agencies and international organizations. Such cooperation and coordination certainly does not exist generally between U.S. Government agencies, not even between some divisions of the same agency (see below).

As an early TAICH directory stated:

Voluntary agency programs are pointed towards the least developed areas, and frequently work with and through indigenous counterpart agencies and coordinating committees or councils in the host countries. American voluntary and non-profit agency overseas programs aid in creating a climate for governmental, intergovernmental, and private enterprise service in underdeveloped areas. [Ref. 14]

Cooperation and coordination between the NGO's and various offices in A.I.D. and the Department of State has been discussed previously with regard to NGO development assistance projects under contract to A.I.D. and the role that *U.S. foreign policy* plays in the selection and/or support of development assistance projects by the NGO's.

Ten of the study sample NGO's indicated some level of cooperation, coordination or involvement with the Peace Corps or its volunteers in the host country. As mentioned in a previous section, there is some exchange of training experience and materials between the Peace Corps and some of the NGO's. In other instances, NGO's have supplied financial, material, and even

technical support to development assistance projects involving Peace Corps volunteers as teachers, advisors, technicians, or some other level of manpower.

Of particular interest was the finding that eight study sample organizations indicated some level of coordination, cooperation or involvement with either the U.S. or host country military. For example, in Laos, *since there are no USAID personnel in Forward Area field stations, the IVSer, as a representative of USAID, works closely with the Chao Muong (village leader) and the local military commandant.* [Ref. 98, p. 17].

CARE has *donated equipment and construction materials to enable the Marine Corps Civil Action Teams in I Corps to carry out a large variety of projects in support of South Vietnamese affected by the war.* CARE has cooperated in Vietnam *with Government of Vietnam, Ministries of Social Welfare, Health, Interior, Armed Forces, and Finance; AID; U.S. Military Civic Action Teams, U.S. Special Forces; Chinese Technical Agricultural Mission; Catholic Relief Services; Foster Parents Plan; Mennonite Central Committee; and the Asia Foundation.* [Ref. 116, pp. 11-12]. One study sample NGO has worked under contract to DOD.

Of course, as has been discussed previously, this coordination, cooperation and/or involvement with U.S. Government agencies and the military has presented the involved NGO's with some problems, particularly in Southeast Asia, and has elicited considerable comment and introspection. IVS difficulties in recruiting personnel for Southeast Asia has been previously cited and is expanded in the following paragraph:

> *A series of events dating from October 1967 and mostly dire, has handicapped efforts of IVS to obtain an optimum level of applicants for IVS teams overseas. The negative catalogue is lengthy: publicity attendant to the resignation of Don Luce and other IVS team leaders last October, despite the efforts of Don and his colleagues to continue encouraging service with IVS in Vietnam; the Tet offensive in Vietnam; the death of another volunteer,*

David Gitelson, last January; increasing doubts on many campuses as to the justification and propriety of United States policies in Southeast Asia in general, and the devastation of people and country by the United States military forces in particular; disenchantment with the ties between U. S. government policies and actions as they affect IVS in Laos, disenchantment encouraged from time to time by letters from members of the Laos IVS team [Ref. 117, p. 2].

In discussing IVS activities, an IVS report states that IVS *withdrawal would leave the field to less constructive influences such as military.* [Ref. 79, p. 24]. Also cited by IVS is the comment that *there has never before been a military government in Viet Nam, and the military has never been highly respected in any oriental society. (Witnesseth the Chinese proverb: 'Don't use good iron to make nails or good men to make soldiers!').* [Ref. 87, p. 2]. On the other hand, another organization ventures the prospect of *transferring the military into an employment generating and skill-building force.* [Ref. 118, p. 6]. One of the addresses at the Twelfth Annual Conference of the Korea Association of Voluntary Agencies (KAVA) in 1968 was by the Head Chaplain of the U.S. 8th Army. [Ref. 119].

An impressive feature of the international development assistance operations of the NGO's which undoubtedly contributes to their effectiveness and efficiency, is the cooperation and coordination between the various NGO's, individually and as members of coordinating groups, such as ACVA and the A.I.D. Advisory Committee. As shown in Table 3, ten of the initial sample organizations are members of ACVA and 14 are registered with the A.I.D. Advisory Committee on Voluntary Foreign Aid.

The NGO's often work together on development assistance programs and projects, contributing complementing capabilities; the examples are extensive. In addition, some administrative personnel and advisors work with more than one organization. These factors help to extend the aforementioned *organizational memory* and *continuity* to prevent the repetition of

errors. For example, Rudolph Peterson has served on the Asia Foundation's National Committee for Development and as a Director of IESC [Ref. 1, p. 14]; Wallace J. Campbell is President of the Foundation for Cooperative Housing (FCH), and Treasurer and Vice President of CARE. The Asia Foundation has worked with the Ford, Kellogg and Rockefeller Foundations, as well as with the Carnegie Corporation and the Brookings Institution on various endeavors; Lutheran World Relief (LWR) works closely with CWS [Ref. 120, p. 32]; and PAS has worked under contract to the Ford Foundation [Ref. 48]. The Ford and Rockefeller Foundations, with some input from the Kellogg Foundation, support several international institutes for research in agriculture: the International Rice Research Institute, the International Maize and Wheat Improvement Center, the International Center of Tropical Agriculture, and the International Institute of Tropical Agriculture. The following account of the establishment of a cooperative in Viet Nam by IVS is one example of joint development assistance efforts by NGO's:

> *The farmers are ready to work and progress but, as in any economic venture, cash is the initial requirement, and previous attempts to obtain credit have always come to nothing. Private money is available but interest rates (usually 36% per year) do not allow relatively long-term (one to two years) agriculture loans. Loans from the government credit bank are very difficult to obtain. All this leads to a need for outside funds to operate, and the villagers have decided that the best way to attain their goals would be through a co-op.*
>
> *The necessary cash came from CARE. The grant was enough for each of the twenty-nine members to buy gas-engine water pumps and accessories. The farmers all agreed to pay back their loan to the co-operative in installments and thus create a revolving fund that could be used for further credit and agricultural improvements.* [Ref. 111, p. 17].

According to Ann Ash of TAICH, *perhaps there can be a greater fostering of inter-agency cooperation, coordination, and exchange by virtue of making known the mutuality of in-*

terests. [Ref. 16, p. vi]. Rudolf Peterson, in The Asia Foundation Program Quarterly, states that *the concerns and the responsibilities of American business, government and private organizations must and should overlap, if we are to meet the demanding challenges of the next decade.* Each organization *should recognize that its goals are best served by cooperation with other Americans who are working in the new pattern of international relationships.* [Ref. 115, pp. 1,5].

In addition to ACVA and the A.I.D. Advisory Committee, there are currently active cooperating councils of NGO's in 12 other countries which seek *to strengthen coordinating activity overseas.* [Refs. 121, 122]. These were, as of August 1971, located in Australia, Chile, Germany, Greece, Hong Kong, Jordan, Korea, Lebanon, New Zealand, Peru, the Philippines and Vietnam. These councils may be composed of American agencies only, indigenous agencies only, indigenous and alien agencies, or alien agencies only, including U.S. NGO's; furthermore, the councils may represent only recipient agencies or only donating agencies or both. [Ref. 122]. Table 29 outlines representation of ACVA members on councils and coordinating committees abroad, as of July 1965; at that time there were councils and coordinating committees in 15 countries. (Organizations in the initial sample of this study are shown in italics). In addition, there is an International Council of Voluntary Agencies (ICVA), to which eight organizations in the study sample belong; ICVA *accumulates, coordinates, and disseminates experience* [Ref. 123].

7. Evaluation Guidelines and Procedures

a. General remarks

As is apparent from the questionnaire in Appendix C, all 34 NGO's in the study sample were queried as to evaluation methods and techniques. As shown in Table 30, which summarizes the aspects of the organizations and their international develop-

Table 29

ACVA MEMBER AGENCIES' REPRESENTATION ON COUNCILS AND COORDINATING COMMITTEES ABROAD JULY 1965

ACVA Agencies	ACVA Member Agencies Representation on Councils and Committees by Country														
	Algeria	Austria	Brazil	Chile	France	Germany	Greece	Hong Kong	Italy	Jordan	Korea	Lebanon	Philippines	Taiwan	Vietnam
Am. Baptist Relief															
Am. Counc. Judaism Philanthropic Fund															
Am. Friends of Refug.						x									
Am. Friends Serv. Comm.	x					x									
Am. Fund Czech. Refug.		x				x									
Am. Jewish Jt. Distr. Com.		x	x		x	x	x		x						
Am. Leprosy Missions															
Am. Middle East Rehab.															
ANCHA															
Am. ORT Fed.		x			x	x			x						
Am. Relief Poland															
Assemblies of God, FSC						x					x				
Brethren Serv. Comm.						x			x						
CARE	x			x			x	x	x	x	x	x	x		x
Catholic Rel. Serv.-NCWC	x	x	x	x		x	x	x	x	x	x	x	x	x	x
Church World Service	x	x	x	x		x	x	x	x	x	x	x	x	x	
Community Devel. Fdn.					x										
Co-ordin. Hungarian Rel.															
Hadassah															
Heifer Project															
Internat'l Rescue Comm.		x			x	x			x						x
Iran Foundation															
Lutheran Immig. Serv.						x									
Lutheran World Relief		x	x			x		x		x	x	x		x	
Mennonite Centr. Comm.						x		x		x	x	x			x
N.A.E. World Rel. Comm.															
Near East Foundation							x					x			
Polish Am. Im'g & Rel. Comm.		x				x									
Salvation Army	x										x				
Save the Children Fed.	x				x		x		x		x				
Seventh-Day Adventist Welfare Service				x				x			x		x	x	
Tolstoy Foundation		x	x		x	x									
Unitar. Univ. Serv. Comm.					x										
United Fr. Needy DP Yugo.															
United Hias Serv.		x	x		x	x			x						
United Lithuanian Rel. Fd.															
United Seamen's Serv.						x			x		x				
United Ukrainian Am. Rel.						x									
World Neighbors															
World University Serv.						x	x								
YWCA Int'l Division							x				x	x		x	

Source: *The Role of the American Council of Voluntary Agencies for Foreign Service in International Cooperation.* New York: American Council of Voluntary Agencies for Foreign Service, August 1965.

Table 30

U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE: ASPECTS OF OPERATIONS EVALUATED AND WHETHER EVALUATION IS INTRA- OR EXTRAMURAL

Aspect of Operations Evaluated	Number of Organizations					
	With Evaluation			With No Evaluation		
	Total	Intramural	Extramural	Total	Intramural	Extramural
Total	34	31	13	0	3	21
Management	4	4	2	-	-	-
Personnel	11	11	4	-	-	-
Programs	11	10	3	-	-	-
Projects	33	31	9	1	3	25

ment assistance operations which are evaluated, all 34 organizations perform some type of evaluation related to their international development assistance operations.

The form which this evaluation takes varies considerably from organization to organization, as might be expected. Many of the organizations have evaluation as a built-in component to their programs or projects, or are becoming increasingly aware of its importance. Five NGO's in the study sample at first denied that they did any kind of evaluation, thinking an in-depth objective assessment by means of a questionnaire or outside advisors was the intent. On further discussion, however, it was determined that these organizations do indeed have effective evaluation procedures of a more *subjective* nature. Two organizations referred to *objective* evaluation as *foolish* and *a hollow exercise* due to day-to-day constant change, but again both of these organizations perform subjective evaluation of their development assistance efforts.

Evaluations of NGO's and their development assistance activities may be performed within the organizational structure *(intramural evaluation)* or by outside individuals or organizations *(extramural evaluation)*. As shown in Table 30, 31 or some 91 percent of the study sample organizations have some provision for evaluation of some aspects of their development assistance operations within their organizational structure, while 13 of the study sample NGO's rely on outside individuals and organizations to some degree in their development assistance assessments. Three of the study sample NGO's have no provisions for intramural evaluation while 21 of the study sample NGO's at least implied no utilization of extramural evaluation techniques.

There is some disagreement among the various NGO's and authorities in the field of international development assistance over the validity and/or employment of *intramural* versus *extramural* evaluation techniques. For example, in his discussion of the role of U.S. universities in international development assistance, Richard Wood states that to prevent confusing

the thoughtful assumption of risk with mere hope and rationalization, special reliance should be placed, throughout the life of the project, on evaluation by outstanding individuals not directly charged with its administration. [Ref. 91, p. 76]. On the other hand, while the Asia Foundation occasionally uses outside evaluation consultants, the Foundation feels that such outside evaluation experts may have a deleterious effect on the project which may question the integrity of the project personnel and may affect the continuous relationship which the Foundation fosters with their grantees and the interrelationship of projects.

As shown in Table 30, four of the NGO's in the study sample indicated that they evaluate or have evaluated the organization's *management* system. All four have performed some of this evaluation internally while two have utilized the sources of outside individuals and/or organizations in this evaluation of management.

Eleven of the study sample organizations indicated some form of evaluation of *personnel* involved in international development assistance. As shown in Table 30, all eleven NGO's perform some part of this personnel evaluation internally while four of these organizations depend upon some input from external sources in their personnel evaluation.

Similarly, eleven organizations in the study sample indicated that they evaluate their overall development assistance *programs*, or have performed such evaluation in the recent past (Table 30). Ten of the study sample NGO's have performed such program evaluation within their own organizational structure while three organizations have utilized extramural evaluation sources. Interestingly, three of the study sample NGO's which evaluate their organizational management also evaluate their development assistance personnel and programs. Five of the same study sample NGO's evaluate both their development assistance personnel and programs.

As shown in Table 30, 33 of the study sample organizations, or some 97 percent of the study sample, indicated that they perform some type of evaluation of their development assistance *projects*. Thirty one, or some 91 percent, of the study sample NGO's have some provision for this project review within their own organizational structure, although only three study sample NGO's mentioned *provisions for review* in the project proposal as an important project selection criterion (Table 21). Nine organizations in the study sample rely upon external sources for some of their project evaluation, as shown in Table 30. Three study sample organizations indicated no internal procedures for project evaluation while 25 study sample NGO's indicated or implied no utilization of extramural evaluation techniques in reviewing their international development assistance projects.

As is evident from the questionnaire in Appendix C, only project evaluation was pursued in depth with the study sample NGO's. Therefore, the absence of positive responses regarding management, personnel and program evaluation does not necessarily indicate a negative response.

As has been indicated in preceding sections, the integration of management, personnel, program and project pervade the international development assistance efforts of the NGO's and strongly affects the success or failure of projects. Therefore, it should not be surprising that evaluation of all four aspects are found throughout the evaluation process and particularly in project evaluation.

b. Personnel Evaluation

As has been discussed in preceding sections, the NGO's exercise meticulous care in the *selection of personnel* to work in international development assistance (Tables 12, 14, 17). Furthermore, the study sample NGO's consider the *availability of qualified personnel* quite important in selecting development assistance projects (Table 23) and project *personnel* and

their performance of *prime* importance among factors cited as influencing the success or failure of development assistance projects (Table 24). As stated by CDF, *no matter how well organized the program is, no matter how much money there is behind it, it will fail if its CDWs* [Community Development Workers] *do not succeed at their fundamental task: reaching their area's rural people.* [Ref. 47, p. 1]. According to Ray Davis, IESC Director of Operations in Thailand, *statistics have shown that IESC has had 95 percent success* due to *painstaking screening and matching of executives and projects.* [Ref. 124].

The *role* of development assistance personnel and its importance in project success has been discussed previously in this chapter; the *perception* of the project and/or personnel by the local people was cited specifically by two study sample organizations as an important factor in the success or failure of development assistance projects (Table 24). CDF emphasizes that the development assistance worker *should not state that a project should be started, for any project started without the people's strong support will probably not succeed.* The development assistance worker *should make a conscientious effort to speak simply and clearly. More important, he must listen.* [Ref. 47, p. 4].

The perception of their own role by development assistance personnel and the relationship between those personnel and management at various levels is also of importance in the successful progress of development assistance efforts. An IVS study reported that a *factor contributing to low morale is relations between staff and volunteers. Many of the volunteers have little respect for the leadership ability of the staff. They feel the staff has not been responsive to them as volunteers and has not adequately confronted the problems facting IVS/Laos. Morale is slightly lower among members of the*

education team who feel they are on the fringes of the educational system and who continue to question the value of teaching English. They sometimes feel they are running a training program to prepare personnel for U. S. Government agencies in Vietnam. [Ref. 79, pp. 11,13]. In discussing factors contributing to the disruption and/or failure of development assistance projects, CWS cites a *lack of clearly defined and accepted sharing of responsibility (including careful advice-giving)* as one such factor. [Ref. 83, p. 25]. As *possible underlying causes* of this lack of sharing responsibility, CWS cites:

1) *Persistent theory held by individuals or within bodies in the chain, that "if you want something done properly you must do it yourself."*
2) *Distrust of others in the relationship to allow responsibility genuinely to be shared with them.*
3) *Lack of understanding that sharing of responsibilities and abilities is necessary in this work. (This can result in explanation that funds and people are not available for a reasonable distribution of responsibility.)*
4) *Desire for one link to compete with others for success or maintain control itself.*
5) *Desire to take full credit for the results of development.*
6) *Real over-commitment in terms of resources available.* [Ref. 83, pp. 25-26].

As shown in Table 30 and mentioned previously, eleven of the NGO's in the study sample perform some form of personnel evaluation, usually at regular intervals ranging from six months to three years. The usual interval is annually or semiannually. The form which these personnel evaluations take may be subjective reports, although the more objective formats of checklists and questionnaires are the more usual

case. The World Neighbors Staff Evaluation Form is shown as Appendix L. The IVS Evaluation Form is shown as Figure 15. According to IVS, *volunteer impact is measured in part by employer* [client] *satisfaction.* [Ref. 12, p. 13].

> *Some diffusion studies in the Philippines provide limited support for the issues of technical adequacy and appropriateness. The evidence usually emerges as fortuitous or qualitative data in case studies of development projects. Interviews with 45 farm household heads chosen at random in five barrios produced, among other things, the following comments about the extension worker assigned to each barrio.*
>
> - *He is young compared to the majority of the farmers and so is not too experienced in matters of farming. (27 out of 45)*
>
> - *He uses (technical) language we cannot understand very well. (33 out of 45)*
>
> - *He goes by the book and not on what is really happening in the field. (17 out of 45)*
>
> - *He is not very sure sometimes of what he is advising us to do. (35 out of 45)*
>
> - *He cannot answer many of our questions. (16 out of 45)*
>
> *Farmers reported their perceptions of technical inadequacy in some workers in such terms as "aba, eh, mas marunong pa kami diyan, ah," which can be translated as "Why, we know more than he does. He's young; what does he know?"*
>
> *These observations and this line of development lead to the proposition that the change systems and their representatives frequently generate much of the resistance they encounter.*

NAME_____ COUNTRY_____

PERIOD OF SERVICE_____ POSITION_____

		Excellent	Good	Fair	Poor
1.	Industry				
2.	Dependability				
3.	Judgment				
4.	Resourcefulness				
5.	Decisiveness				
6.	Cooperativeness				
7.	Adaptability				
8.	Conduct				
9.	Ability to get along with local people				
10.	Ability to get along with Americans				
11.	Technical competence				
12.	Leadership				

ADDITIONAL COMMENTS:

Include comments on such matters as the work volunteer best suited for upon his return to the States; potential for I.V.S. leadership; his major strengths and weaknesses.

SIGNED:_____ CO-SIGNED:_____

TITLE:_____ TITLE: Chief of Party

DATE:_____

Fig. 15. IVS Evaluation Form, February 1970.

Source: International Voluntary Services, Washington, D. C., March 8, 1971.

They tell people what to do rather than ask them what and why they do what they do.

They preach practices rather than teach farmers how and why.

In training efforts, they stress extension methods rather than technical competence.

They talk about rather than demonstrate practices.

They send inadequately prepared people to teach farmers.

They fail to discriminate among those workers who are technically adequate and those who are not. [Ref. 125, pp. 4,10].

c. **Program/Project Evaluation**

As is evident in the questionnaire in Appendix C, inquiries about program and project evaluation were done together, but most of the focus was on project evaluation. As shown in Table 30, all but one of the study sample NGO's perform some type of evaluation of development assistance projects, while only eleven NGO's in the study sample indicated that they perform evaluation of overall development assistance programs, or have performed such evaluations in the recent past.

As has been indicated in a preceding section, the only *program evaluations* about which any definitive information was provided were evaluations of *training programs*. IVS solicited the following *Comments on Orientation* from new IVS volunteers:

"...I liked the way the IVS organization has been made so real flesh and blood to us. Having the Board of Directors up one evening was a great idea. If I have IVS problems, I feel now that I could write to almost anyone at the headquarters personally about it. That would be unthinkable in the Peace Corps ..." [Ref. 126, p. 4].

"...By Friday, I should confess, I was becoming somewhat bored. Most meaningful topics had, I felt, been covered, and the rest of orientation seemed repetitive (with the exception of role playing which, in my opinion is an ingenious method of presenting new volunteers with possible situations in Southeast Asia and how they might respond to them). I had the feeling of being in 'one of those education courses' in which a flood of rather vapid generalities fill well-intentioned notebooks.

"By far, the most valuable part of orientation was meeting and talking with recent returnees from the field. While background is vitally important (and I would not recommend that any of the guest speakers' topics be eliminated), the alumni had the most important facts to convey. May they always be included and heard from in IVS orientations .... And, really, some boredom is actually beneficial, since it spawns eagerness to get out in the field." [Ref. 126, p. 4]

In discussing the role of U.S. universities in international development assistance, Wood makes the following comments regarding orientation/training programs which certainly have a wider application than university-related programs and projects.

The attention generally paid in the past to the orientation of members of U.S. field teams leaves a great deal to be desired. U.S. government officials cannot escape a large share of the blame for this inattention. Some progress has been made along these lines but a great deal more needs to be done. The Peace Corps has devoted much more adequate time and attention to orientation than have universities, presumably because those sent abroad by the Peace Corps are usually younger and less experienced. Yet, experience in the host country is rarely part of the background of the new member of a team, and it is not wise to send him out with just a pat on the back and the advice to play it by ear.

It is not possible, of course, to equip the prospective team member with everything

he could use on his assignment. Nevertheless, he (and his family) should be given an introductory understanding of the geography, history, religion, economy, literature, art, social structure and current political situation of the host country, along with information on living conditions, and suggested reading with which he should be encouraged to continue his own homework. In the process of this briefing it is hoped that he would improve his ability to compare the United States and the host country on such matters. He should begin to learn at least some of the common greetings and expressions of the host country's language, his attempted use of which, even as he stumbles through them, will be taken as a compliment by his associates in the host country. Above all, he could be given--if he is the right person for the job--a sense of humility about his assignment. This need not be destructive of his confidence that he has something to offer; but he sould be made aware of how much he has to learn about working in the host country, and of the need to adapt his ideas to fit into a culture which in many ways will be strange to him. This orientation, of course, should be related as directly as possible to the central purpose of the project: that of helping to develop an institution with its roots down deep in the host country.

It would seem wise, also, to plan for continuing his (and his family's) formal learning about his new environment after he arrives at the project site. Some U.S. Embassies give excellent orientation courses in the field, and more use should be made of these. Also, the host country field team could be asked to set up a series of lectures and discussions on pertinent topics. In addition to the help this would be to the U.S. staff, another constructive result would be that the host country staff would feel complimented that they were teaching as well as learning from the U.S. field team, and thus the one-way charity aspect of the project would be reduced. Some of the exchanges of ideas thus engendered would also help orient the host country team members to U.S. ways of doing things, which would not be an unimportant by-product.

Increased attention should also be devoted to preparing prospective host country participants and counterparts for assignments in the United States. More adequate briefing before they leave for the United States seems especially needed, and the U.S. field team would appear well placed to help fill this need. This briefing should be continued by further sessions after their arrival in the United States (AID usually can help considerably in this matter), supplemented by having someone assigned the responsibility of answering any questions the visitors may have, and of ensuring their comfort and entertainment. [Ref. 91, pp. 43-45].

The Kellogg Foundation remarks on *direct* and *indirect* effects of training programs:

The projects to train hospital administrators developed by the University of Sao Paulo is having a direct effect upon professional education and it indirectly affects the health services of Brazil by providing well-trained hospital administrators to administer health services. On the other hand, the Institute of Nutrition of Central America and Panama is making its major direct contribution through investigation and service, but it is also indirectly influencing professional education of the area. [Ref. 21, p. 115]

1) Evaluation Methods

As shown in Table 31, which summarizes information obtained from the study sample organizations on methods of project evaluation, 32 or some 94 percent of the NGO's in the study sample provided the RTI research team with information on general, and in some cases specific, methods of project evaluation. The other two organizations are in the process of developing evaluation systems.

The most frequently employed method of project evaluation consists of *reports* from the field. As shown in Table 31, 21 or some 62 percent of the study sample organizations specifically indicated some type of reporting system as part of their evaluation process. The form which these reports take varies widely among the study sample organizations. Some are called Progress Reports or Evaluation Reports. Some of these reports are quite subjective in nature, although the trend is to encompass at least some elements of objectivity. According to CARE, *it is absolutely necessary that Evaluation Reports be objective.* [Ref. 127, p. 60].

Table 31

U.S. NONGOVERNMENT ORGANIZATIONS INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE: METHODS OF PROJECT EVALUATION

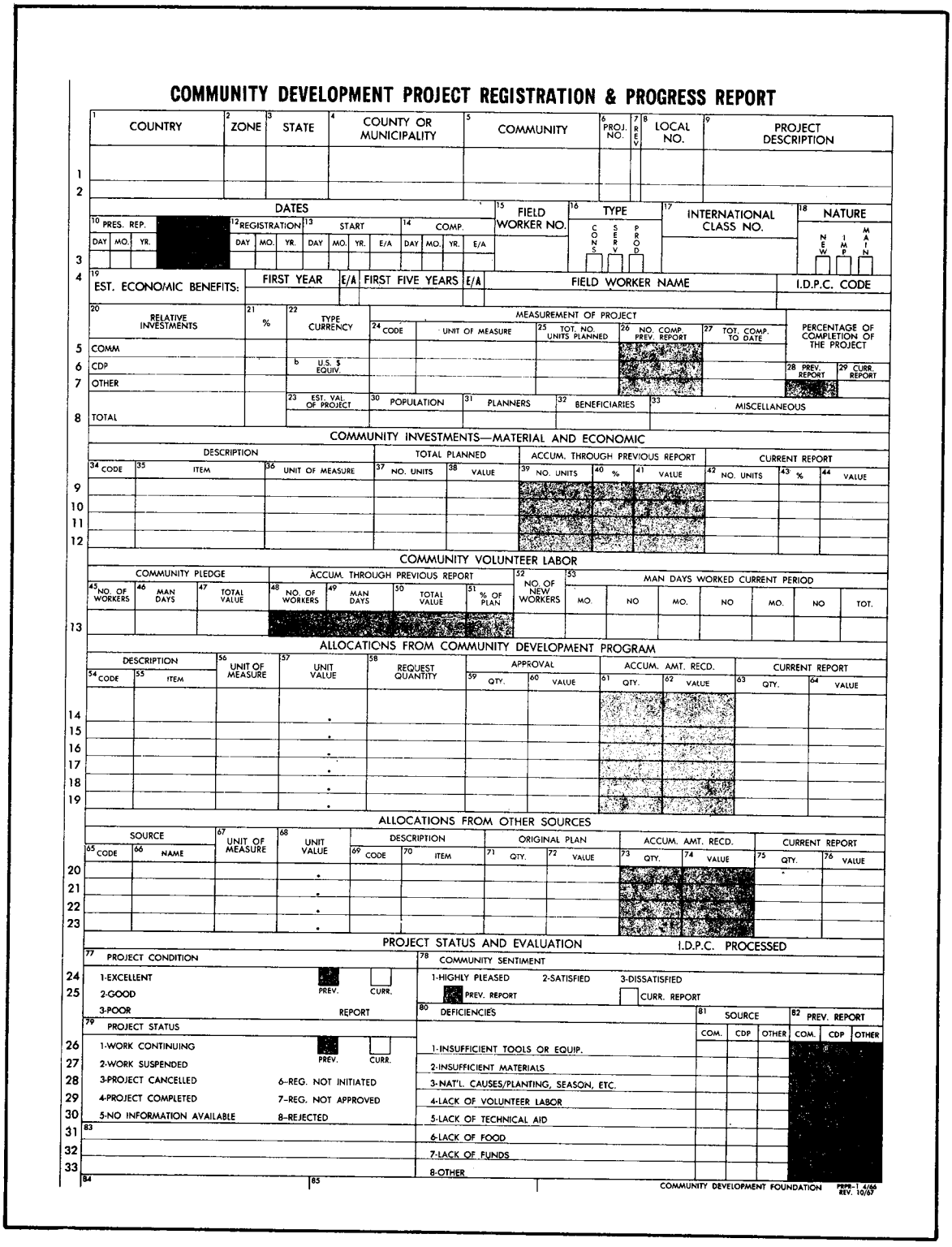
Evaluation Method	Number of Agencies Using Method
Field Reports	21
Site Visits	15
Review by Participants (Volunteers, Advisors)	5
Post-project Review	5
Questionnaire	4
Review by Host Country Agencies	2
Review at Annual Meeting	2
Interviews	2
Advisory Council Review	1
Biennial Review of Methods	1
Total Providing Information	32

On the other hand, SCI advises that *it has been difficult to report formally on projects because of a widespread distaste for written reports on the part of otherwise capable leaders and volunteers.* [Ref. 128].

In the case of The Asia Foundation, program evaluation is a continuing process that includes budget reviews, project-by-project analysis, project reporting and the preparation of final reports and annual program summaries. Effective evaluation depends on the development of a clearly understood and enforced system of program objectives. The currency and the critical nature and quality of project reporting by field representatives must *be maintained as the basis for independent analysis and judgment of the effectiveness of individual grants and the program as a whole.* [Ref. 78, p. 16]. The letter of agreement establishing the project requires certain reporting by the grantee. A great deal of evaluation is left to the Country Representative's judgment; he makes an annual country report which relates each project to each other project in his country and its objectives.

According to CWS, *evaluation must mean evaluation of the structure as a whole.* [Ref. 83, p. 23] Wood states that *too often, the field team tends to view the evaluation process as a bothersome ritual of meetings taking place only at predetermined intervals, each preceded by frantic preparations for the ordeal, and quite unrelated to the main business of the project. Would it not be far better to consider evaluation more as a continuous process, aiming to keep the sponsors up to date on current developments, and soliciting their reactions when appropriate. If this were done, program planning, operations and evaluation would be seen in their proper perspective: each, so to speak, one of the three essential and continuously interrelated sides of a triangle--rather than in the relationship of the links in a chain.* [Ref. 91, p. 47].

CDF has designed systems to computerize much of their development assistance operations; Figure 16 presents the CDF *Community Development Project Registration & Progress Report.* This format is among the most objective of those provided the RTI research team; it does allow for rapid tabulation and



COMMUNITY DEVELOPMENT PROJECT REGISTRATION & PROGRESS REPORT

1 COUNTRY	2 ZONE	3 STATE	4 COUNTY OR MUNICIPALITY	5 COMMUNITY	6 PROJ. NO.	7 REV	8 LOCAL NO.	9 PROJECT DESCRIPTION
1								
2								

DATES													15 FIELD WORKER NO.	16 TYPE			17 INTERNATIONAL CLASS NO.	18 NATURE		
10 PRES. REP.			12 REGISTRATION			13 START				14 COMP.				CONS	SERV	PROD		NEW	IMP	MAIN
DAY	MO.	YR.	DAY	MO.	YR.	DAY	MO.	YR.	E/A	DAY	MO.	YR.	E/A							
3																				

19 EST. ECONOMIC BENEFITS:	FIRST YEAR	E/A	FIRST FIVE YEARS	E/A	FIELD WORKER NAME	I.D.P.C. CODE

20 RELATIVE INVESTMENTS	21 %	22 TYPE CURRENCY	MEASUREMENT OF PROJECT: 24 CODE	UNIT OF MEASURE	25 TOT. NO. UNITS PLANNED	26 NO. COMP. PREV. REPORT	27 TOT. COMP. TO DATE	PERCENTAGE OF COMPLETION OF THE PROJECT: 28 PREV. REPORT	29 CURR. REPORT
5 COMM									
6 CDP		b U.S. $ EQUIV.							
7 OTHER									
8 TOTAL		23 EST. VAL. OF PROJECT	30 POPULATION	31 PLANNERS	32 BENEFICIARIES	33 MISCELLANEOUS			

COMMUNITY INVESTMENTS—MATERIAL AND ECONOMIC

DESCRIPTION: 34 CODE	35 ITEM	36 UNIT OF MEASURE	TOTAL PLANNED: 37 NO. UNITS	38 VALUE	ACCUM. THROUGH PREVIOUS REPORT: 39 NO. UNITS	40 %	41 VALUE	CURRENT REPORT: 42 NO. UNITS	43 %	44 VALUE
9										
10										
11										
12										

COMMUNITY VOLUNTEER LABOR

COMMUNITY PLEDGE: 45 NO. OF WORKERS	46 MAN DAYS	47 TOTAL VALUE	ACCUM. THROUGH PREVIOUS REPORT: 48 NO. OF WORKERS	49 MAN DAYS	50 TOTAL VALUE	51 % OF PLAN	52 NO. OF NEW WORKERS	53 MAN DAYS WORKED CURRENT PERIOD: MO.	NO	MO.	NO	MO.	NO	TOT.
13														

ALLOCATIONS FROM COMMUNITY DEVELOPMENT PROGRAM

DESCRIPTION: 54 CODE	55 ITEM	56 UNIT OF MEASURE	57 UNIT VALUE	58 REQUEST QUANTITY	APPROVAL: 59 QTY.	60 VALUE	ACCUM. AMT. RECD.: 61 QTY.	62 VALUE	CURRENT REPORT: 63 QTY.	64 VALUE
14										
15										
16										
17										
18										
19										

ALLOCATIONS FROM OTHER SOURCES

SOURCE: 65 CODE	66 NAME	67 UNIT OF MEASURE	68 UNIT VALUE	DESCRIPTION: 69 CODE	70 ITEM	ORIGINAL PLAN: 71 QTY.	72 VALUE	ACCUM. AMT. RECD.: 73 QTY.	74 VALUE	CURRENT REPORT: 75 QTY.	76 VALUE
20											
21											
22											
23											

PROJECT STATUS AND EVALUATION — I.D.P.C. PROCESSED

77 PROJECT CONDITION	PREV.	CURR. REPORT
24 1-EXCELLENT		
25 2-GOOD		
3-POOR		

79 PROJECT STATUS	PREV.	CURR.
26 1-WORK CONTINUING		
27 2-WORK SUSPENDED		
28 3-PROJECT CANCELLED	6-REG. NOT INITIATED	
29 4-PROJECT COMPLETED	7-REG. NOT APPROVED	
30 5-NO INFORMATION AVAILABLE	8-REJECTED	

31 83
32
33
84 85

78 COMMUNITY SENTIMENT

1-HIGHLY PLEASED 2-SATISFIED 3-DISSATISFIED

PREV. REPORT CURR. REPORT

80 DEFICIENCIES	81 SOURCE: COM.	CDP	OTHER	82 PREV. REPORT: COM.	CDP	OTHER
1-INSUFFICIENT TOOLS OR EQUIP.						
2-INSUFFICIENT MATERIALS						
3-NAT'L. CAUSES/PLANTING, SEASON, ETC.						
4-LACK OF VOLUNTEER LABOR						
5-LACK OF TECHNICAL AID						
6-LACK OF FOOD						
7-LACK OF FUNDS						
8-OTHER						

COMMUNITY DEVELOPMENT FOUNDATION PRPR-1 4/66 REV. 10/67

Source: Community Development Foundation, Norwalk, Connecticut, March 16, 1971.

Fig. 16. Community Development Foundation's *Community Development Project Registration & Progress Report.*

updating for rapid review of project progress and certain problems. Appendix M presents the ACDI *Cooperative Institutional Development Profile* which is initiated as a part of program or project planning and allows annual comparisons of certain elements of the program or project; the ACDI Profile is not computerized but does allow for rapid comparison and assessment of project elements in the Profile. The first column is an assessment of the project during planning, while the other columns are assessment of project operations. Somewhat less objective and offering more latitude for subjective comment are the *Progress Report Formats* of CARE and CRS, shown as Appendixes N and O, respectively, and the now obsolete NEF *project outline* shown as Figure 17. The RTI research team was impressed by the concise presentation of problems, accomplishments and contributions in the NEF project outline in Figure 17; it is unfortunate that this format has fallen into disuse. Both objective and subjective elements of evaluation are found in the *evaluation report formats* of both CARE and CRS, which are presented as Appendixes P and Q, respectively.

As shown in Table 31, 15 of the study sample organizations cited a project *site visit* by some official for the purpose of project evaluation. The official performing this site visit might be the organization's country or regional director, an evaluation officer or some other official from the organization's home office, or a consultant brought in for the purpose of project evaluation.

As some part of the evaluation process, five of the study sample organizations indicated some form of review of development assistance projects by project *participants* (volunteers, technicians, advisors). Similarly, two NGO's in the study sample indicated some provisions for project review by *host country agencies*, representatives, or participants (Table 31).

OUTLINE OF TOURKOHORI HEALTH PROJECT

UNDER MACEDONIA RURAL LIFE IMPROVEMENT

PROBLEMS:

1. Large swampy area in the center of the village.
2. Stagnant waters around the village fountain.
3. Spring stopped up with mud and filth.
4. A large pit filled with rubbish in the center of the village.
5. Broken down fountain with reservoir and water running from five different points making a swampy area round fountain.
6. Second fountain of village, including reservoir, in broken down condition.
7. Ditch - 500 meters long - in bad condition.

ACCOMPLISHMENTS:

1. Drained and filled large swampy area in the center of the village.
2. Drained stagnant waters around village fountain and built underground drainage ditch 35 meters long.
3. Cleaned out the spring and built stone wall around it.
4. Cleaned out the pit and filled in with soil.
5. Repaired reservoir and fountain.
6. Repaired the second fountain near the church and built the necessary drainage ditch.
7. Cleaned ditch - 500 meters long.

CONTRIBUTION OF THE VILLAGE:

1. Labor of 182 men, also stone and sand.

CONTRIBUTION OF THE DISTRICT MAYOR:

150 okes of lime, 4 sacks of cement, 38 pipes, 5 shovels, 3 axes.

CONTRIBUTION OF NEAR EAST FOUNDATION:

Leadership, plus $13.00 worth of materials.

RESULT: - Greatly improved appearance of the village; eliminated five (5) swampy areas and providing plenty of drinking water. Capitalized local enthusiasm, inducing local cooperation and working together to the great benefit of the people. Elimination, we hope, of most of the malaria of this center.

NOTE: Taken from Mr. Allen's talk at Salonica Conference, March 1932. "MEETING THE FOUR ESSENTIALS OF VILLAGE NEEDS IN MACEDONIA"

Source: Barclay Acheson. Annual Progress Report on Near East Foundation Projects as of June 30, 1932. New York: Near East Foundation, 1932, p. 20.

Fig. 17. Outline of Near East Foundation Health Project in Macedonia.

The utilization of these forms of project review usually requires an interview situation or some type of questionnaire; certainly the report formats cited in a preceding paragraph and presented as **Figure 16** and Appendixes M-Q incorporate questionnaire elements. However, as shown in Table 31, only four organizations in the study sample specifically indicated the utilization of *questionnaires* in their evaluation process and only two NGO's in the study sample cited evaluation in an *interview* situation. One IVS report based *appraisal of IVS potential principally on interviews with staff and former Volunteers*, but stresses that *it should not be viewed as an evaluation of past performance, but as an attempt to isolate the distinctive possibilities of the organization.* [Ref. 12, p. 19]. Appendix R presents the questions from a project questionnaire employed by one study sample organization.

Five of the study sample organizations indicated that, as a part of their evaluation process, they employ a *post-project review* (Table 31) where the development assistance project is re-evaluated one or two years after completion to assess the validity of evaluations at the time of project completion or transfer to indigenous control: has the indicated degree of success, failure or impact been realized or substantiated?

As shown in Table 31, two of the study sample organizations indicated that project review and evaluation takes place at an *annual meeting* of the organization, while one study sample NGO indicated that review and evaluation of development assistance projects is performed by an *advisory council.* One organization referred to a *biennial review of methods*, but did not elaborate (Table 31).

In 1960, TAICH recommended that non-profit organizations periodically evaluate their development assistance

activities [Ref. 14]. At least those NGO's in the study sample seem to have followed that advice. In terms of structural provisions for evaluation within the organizations, the Program Department of CARE (see Figure 10) has among its responsibilities the evaluation of programming performance. [Ref. 31]. In 1962, the Ford Foundation reviewed and evaluated each program in which the Foundation had been engaged since 1950 [Ref. 129, p. 1]; findings of this evaluation were not disclosed. To a conference on Social Aspects of Technical Assistance in Operation held jointly by the United Nations and UNESCO in 1953,

> *The private agencies reported that data for evaluation are usually obtained from regular and special reports from the field, supplemented by visits or inspections, and many of them feel that on-the-spot visits are the best way to obtain sufficient data for thorough evaluation. Some consultants stated that their agencies make it a policy to see that every one of their overseas personnel is visited every two to five years by someone from central or regional headquarters. It was thought that the visiting inspector should stay long enough to observe the work and discuss it with the local people and the project personnel. Some agencies use small evaluation teams who make systematic efforts to evaluate the social as well as the economic consequences of programmes by regularly interviewing a few families initially chosen at random from those in the area of the project.* [Ref. 130, pp. 68, 69].

2) Project Effectiveness Criteria

Of the 34 NGO's in the study sample, 25 or some 74 percent provided RTI with relatively definitive information on *factors* which in their opinion strongly influence the success or failure of development assistance projects and/or *criteria* applied or considered in measuring the effectiveness of a project. The *project success factors* are planning elements or characteristics of the organization which are beyond the sphere of project selec-

tion criteria (as in the *lack of constraining accountability)* or extensions of such criteria (as in *magnitude* of the project); the *project effectiveness criteria* may also reflect project selection criteria, as in *felt need.* Some aspects of both the project success factors and project effectiveness criteria have been discussed in preceding sections; these will be reviewed here and others discussed in more detail.

As shown in Table 24, 23 or some 68 percent of the study sample organizations provided information on *factors* considered important in determining the success or failure of development assistance projects. These factors are listed below in apparent order of importance as derived in Table 24 and shown in the last column of that table:

1. Personnel
2. System of Objectives
   Availability of Local Resources
4. Host Country Political Climate
   Continuity
6. Organization Flexibility
7. Advance Planning
8. Host Country Government Reaction
   Lack of Constraining Accountability
   Magnitude
11. Relevance of Project/Technique to Local Situation
12. Systematic Record
    Perception of Project/Personnel by Recipients
    Detailed Methodology

The importance of *personnel* in project selection as a factor in project success or failure has been discussed previously and will not be pursued here except as related to perception of the project and personnel by development assistance recipients (see below). Similarly, the importance of the project *objectives* as both project selection criterion and project success factor has been discussed previously; in this regard, the Asia Foundation warns an evaluation not to expect too much too soon, to consider the limited project

objective in light of a broad goal and consider measures for both. Similarly, *the purpose of any grant in terms of the desired end result must be defined before it is made if it is to be evaluated properly.* [Ref. 78, p. 16] For example, the Pakistan Planning Commission was created in 1954 with Ford Foundation funds and advisors recruited by Harvard University to advise on the science, art, and organization of national planning. The Ford Foundation's goal was the establishment of the Commission as an organization able to continue its own development and maintain a good standard of work; it reached this position by the fall of 1965. The Commission's first five-year plan did not achieve its ultimate goal; however, the objectives of the second plan were reached and in some instances exceeded. In 1965, with the beginning of the third five-year plan, the Commission's professional competence precluded advisors despite mounting responsibilities and opportunities, thus satisfying the overall design to remove the need for foreign personnel as soon as possible. The Pakistan Planning Commission now decides priorities of projects which are funded by A.I.D. and staffed by the Peace Corps down to the community level. [Ref. 131]

The roles of the *availability of local resources*, project *magnitude*, and a detailed and *feasible methodology* in both project selection and success have also been discussed in preceding sections. However, Ralph H. Allee, formerly with ADC, warns that *attempting to be too comprehensive initially results in the mere aggregation of ignorance.* [Ref. 132, p. 3]

The role of the *host country political climate*, particularly in Southeast Asia, in project selection and its effects on project success and indeed many aspects of development assistance operations has been discussed in preceding sections. IVS has summarized the attitudes of members of field teams in Southeast Asia as follows: *profound unhappiness over American political and military involvement in South East Asia; revulsion at the tactics of American*

military and para-military forces; disgust at AID policies of handouts of material goods, and meretricious claims of accomplishment; great concern at the corruption of local governments, so often fostered by manipulation of American aid at the expense of the "little fellow." [Ref. 79, p. 2]. One study sample organization stated that *there exists a measure of poetic justice in using USAID money to repair some of the destruction we have wrought in Vietnam.* [Ref. 133]

The reaction of, and arrangement with, the *host country government* has been discussed previously in relation to project selection, operations and success. The role of the host country government in development assisted by alien organizations is certainly an important and pervasive one. *In many countries, traditional attitudes and unsubstantiated opinions concerning farmers and farming held by elite groups, including many policy-makers and administrators in government, constitute a much greater roadblock to agricultural development than do the traditions, beliefs, and customs of farmers.* [Ref. 125, p. 10] *Frequently, the conditions for effective Asian action in the voluntary sphere are present, except for two components. First, the government is remote and relationships between it and private organizations may be formal; official cooperation and encouragement, to say nothing of financial support, therefore become difficult to achieve. Second, the men with ideas and initiative are often isolated from the necessary resources because of the general absence of the kind of developmental or innovative philanthropy at work in the United States. The foreign non-profit institution is often the only available catalyst.* [Ref. 1, p. 4].

After eight months of operation, an evaluation of CARE's supplying instruments and equipment for family planning clinics in Egypt indicated that the number of patients attending the clinics was not as high as had been expected. This slight success of family planning in Egypt is attributed to prevailing culture and religious ideas and local government resistance. [Ref. 55]

The importance of *advance planning* by the NGO's, as well as the *continuity* and *flexibility* which characterize the development assistance operations of the NGO's, have also been discussed previously. *Such organizations respond to needs in many areas where the project dimension and timing requirement do not fit within multilateral or bilateral programs.* [Ref. 1, p. 1]. The lack of constraining fiscal *accountability* has also been cited previously as a feature of NGO's which is a factor responsible for much of their success in development assistance. This is not to say that NGO's endure no accountability. For example, *grant-making organizations benefit from the absence of a requirement for self-justification in the larger foreign relations context. Their approach presupposes both an interrelatedness of problems within the world community and the probability of progress in specific fields and programs.* [Ref. 1, p. 1].

The importance to project success of maintaining an accurate and *systematic record* has been discussed in a preceding section.

The importance to the overall success of development assistance projects of the *relevance* of the project or technique and the *perception* of the project and its personnel by the recipients is probably underestimated in this report. *For example, it is only when people are motivated to help themselves that they are permanently helped; outside assistance is wasted unless it is matched, and then some, with self-assistance; without the will to develop, there's no way.* [Ref. 134]. The objectives of any foreign technical assistance program *must be compatible with the culture of the country. It cannot be assumed that transplanting a program, a method, or a technique successful in America will be the right solution.* [Ref. 72, p. 123]

For example,

> *Introduction of farm machinery to rural people who have little or no experience in the mechanization presents new problems in the process of changing from primitive tools to highly mechanized ones. One problem has been that the repair shops and parts are confined to cities although they are now finding their way into towns.* [Ref. 72, p. 121]

This consideration of perception appears to be particularly important in critical and controversial areas such as Southeast Asia. With regard to the perception of project personnel, as has been intimated earlier in this report, *all U.S. project personnel should be encouraged to maintain a way of living which will further their acceptance by the people among whom they are living and those they are attempting to serve. The attainment of this objective may be furthered, for example, by their living near the site of the project, by their maintaining inconspicuous living standards, and by the use of transportation similar to that used by the ordinary inhabitants* [in this case] *of Saigon.* [Ref. 133]. With regard to the perception of the development assistance project and the NGO, many IVS volunteers feel that *it is a liability to be closely associated with either USAID or the government of Vietnam if you intend to work with and gain the respect of the Vietnamese villager.* [Ref. 79, p. 11]. According to a representative of a Buddhist school in a report from another study sample organization, *"Behavior of the agency is more important than sponsorship," although he went on to say that it is "better" if there is no governmental sponsorship (domestic or foreign), for "the people are suspicious of all governments."* [Ref. 133]. This report goes on to say that *"If an agency receives government help (i.e., help from the American or some other foreign government), then people are suspicious. If support comes from voluntary contributions from the American or, let's say, the Japanese people, the Vietnamese are less apt to suspect it." The use of clearly-marked USAID trucks on occasion, of Civic Action materials and personnel on the project site, of office facilities in a USAID guarded building, merely tend to emphasize the American nature of the project. In conclusion, suffice it to say that most of the Vietnamese we spoke with made these three points:*

(a) all foreigners are suspected by most Vietnamese.

(b) *government sponsored agencies are particularly suspect. It is important that people not have the notion that an agency is government run.*

(c) *American or foreign groups (private, even some of those with USAID help) can gain the confidence of the people if their behavior warrants it.* [Ref. 133].

There is fear that we will not do enough and there is fear that some government-to-government programs may be counterproductive in local political terms. Coupled with these factors is the realization that development cannot succeed without outside financial and technical help and that the United States remains the largest single potential source of such assistance. [Ref. 1, pp. 3-4].

According to an ADC reprint, four factors are *quite high in correlation with* successful project outcome:

(a) *personal characteristics of the innovator;*

(b) *communication techniques used;*

(c) *utilization of the traditional culture; and*

(d) *the amount of participation obtained* [Ref. 125, p. 7].

The following factors were cited *as indicating an organization's resistance or slowness to change:*

(a) *Inter-agency rivalries and competition, as evidenced by an unwillingness to communicate and cooperate at national levels or in the field.*

(b) *Distorted emphasis upon emergency or crash programs, upon paper performance rather than field results, and upon nation-wide uniformity in the cultural practice recommendations of any given agency. This leads to promotion rather than education. The farmer is told he ought to grow more rice but he is not instructed in how or provided with necessary resources.*

(c) *The prevailing concepts of management and training may not be adequate.*

(d) *Research and extension organizations may set their sights too low, being willing to accept minor gains over typical farm yields.* [Ref. 125, pp. 9,10].

In three or four cases failure was associated with "the lack of coordination of the various technical services in the area as well as in the higher levels of authority from which the authority of the field workers is derived. The lack of coordination among the services created tension, confusion, and unnecessary waste." [Ref. 79, p. 6].

Two other project selection criteria which might also be considered factors influencing the success or failure of development assistance projects are the time requirements of development assistance and the degree to which the beneficiaries are receptive to development assistance. According to Thomas Fraser, *a very significant problem in the whole field of developmental work is the apparent paradox of the relationship between short-term results and long-range aims of any development project.* [Ref. 44]. According to the Ford Foundation, *the training of manpower and the development of institutions is a time-consuming progress* which would not be considered progress at all to highly developed nations. However, to emerging nations, *it's momentous progress.* [Ref. 135, p. 52]. According to CWS, *major limiting factors to levels of development aimed for must be the capacity of settlers and the region to absorb the aid effectively and the capacity of links near the project end to administer the aid and supply resources for which it creates the need.* [Ref. 83, p. 10]. According to an Indonesian ambassador to the U. S., *it is the national will to act that determines, among other things, a developing country's capacity to resist subversion and, in the field of economic development, its capacity to overcome the social and cultural obstacles which it inherited from its traditional past, and which stand in the way of progress.* A developing nation's growth rate, domestic product, increase in its experts, and capacity to mobilize domestic and foreign capital are *valid indices*

to measure the capacity of a nation to grow but they measure only the external aspects of the growth process. They do not say anything about the dynamism, the will, the determination and vitality of a nation. One much neglected aspect of the development process is the organizational capacity of a nation. [Ref. 136, p. 2].

In discussing factors contributing to the disruption or failure of development assistance projects, CWS cites as a factor the *means of evaluation* and lists the following *possible causes:*

(a) *Lack of consciousness that evaluation must apply to the whole.*

(b) *Assumption on the part of one link that weaknesses are to be found in other parts of the chain only.*

(c) *Lack of willingness to share weaknesses of whole chain and share responsibilities for failures.*

(d) *Lack of security to allow needs of the whole to demand changes in one's own link.*

(e) *Lack of willingness to exercise restraint when an imbalance of strength threatens the whole chain, and to share in the strengthening of a temporarily weak link.* [Ref. 83, p. 26].

CWS goes on to state that in a complex project *some factors can only be weighed by "feeling" and sensitivity to indicators of community spirit, health of attitude, etc. However, it is as well to state the frame in which such evaluation is made and its obvious limitations.* [Ref. 83, p. 8].

Project effectiveness criteria cited by 24 study sample organizations (approximately 71 percent of the study sample) are shown in Table 27 and listed below in apparent order of importance (from the last column of Table 27):

1. Local Control of Project Assumed
2. Development of Local Skills
3. Fills Felt Need
4. Demand (Paid) for Services
5. Cost/Benefits

6. Replication of Pilot Project
7. Material Accomplishments
8. Repayment of Loan
9. Withdrawal/Failure of Students

According to PAS, *the criteria for assessing effectiveness depends much upon who is doing the assessing*, but *any assessment must take into account the total setting*. [Ref. 13, pp. 100,101]. Another report states that *each contractual arrangement* (or development assistance project) *must be judged on its merits and in light of the particular social, political, and cultural milieu in which it is made*. [Ref. 133]. However, BOB's PPB Bulletin emphasizes that *where objectives are complex, it may be impossible to find a single, conceptually clear output measure that will satisfy all the needs of decision-making on a program*. [Ref. 67, p. 7]

As shown in Table 27, the project effectiveness criterion mentioned by the most study sample organizations is that *control of the project be assumed locally;* one organization rates this criterion of prime importance. According to one report, two experts in development assistance interviewed in the course of an evaluation effort *criticized most foreign, especially Western social projects for not fully appreciating the Vietnamese culture, for importation of Western ways, and for refusal to turn their programs over to indigenous leadership.*[Ref. 132] According to TAICH, the NGO's *have designed more and more of their programs to help the people help themselves with the intention of turning over programs to local inhabitants.* [Ref. 19, p. vi]. With regard to a cooperative public health project supported by the Rockefeller Foundation in Jamaica in 1928, *a larger percentage of the population was reached than during any previous year, with cooperation from all classes. There is developing among local boards of health a sense of responsibility in keeping their parishes free from epidemics through the provision of improved sanitation and health education inaugurated by larger and better equipped health services. Health promotion and disease*

prevention are becoming recognized as permanent features in the programs of parochial boards ... [and] *there is growing up a healthy rivalry among boards with regard to their achievements in public health work. Interest in public health is expressed in plans ...* [and] *each year the local government has assumed a larger proportion of the costs,* having assumed over 85 per cent by July 1929. [Ref. 137]

The second most cited project effectiveness criterion is that the project *develop local skills* so that indigenous control of the project can become a reality. Again, one organization cited the development of local skills of prime importance in measuring project effectiveness (Table 27). The Mexican Agricultural Program, established in 1943 and supported by the Rockefeller Foundation, had by 1960, *aided in the creation of an awareness throughout the country of the benefits to be derived from increased technology in agriculture and has helped to train a group of competent scientists who are assuming positions of responsibility in governmental agencies and agricultural colleges. The research in Mexico has resulted not only in greater production of the basic food crops but also in an increased versatility in Mexican agriculture. Most important, the cooperative program has trained a corps of scientists capable of guiding the further development of agricultural science and technology in Mexico.* [Ref. 32, pp. 46,47,249]

As shown in Table 27, seven of the NGO's in the study sample cited measurement of project effectiveness by the degree to which the development assistance project *fills a felt need* of the population which it is designed to serve; one organization rates this criterion of prime importance. As shown in Table 23, *felt need* ranks second among project selection criteria cited by the study sample NGO's. The Asia Foundation attributes its success in development assistance to flexibility, cooperation, and responsiveness to needs expressed by the indigenous population to whom the Foundation looks for quality, effort, and commitment. According to a report from another study sample

organization, *the significant question is whether the project meets real needs and is the kind of project the organization is equipped to handle well. The private agencies are more readily accepted, provided, of course, they meet the criteria of "high motives" and "sensitivity" to people's needs.* [Ref. 133]. Seven study sample organizations indicated the measurement of program/project effectiveness and/or their responsiveness to felt needs of the host country population by the *demand for the organization's services*, in particular whether or not the host country population is willing to pay for those services (Table 27).

Eight of the organizations in the study sample indicated some attempt to project the relative costs and benefits of development assistance projects as part of their project selection process (Table 21), while seven of the study sample NGO's cited the *cost/benefit* of a project as a project effectiveness criterion (Table 27). Figure 18 presents a form employed by CARE which permits rapid tabulation and comparison of project costs and some measurement of benefits. In BOB's PPB system, which is utilized by at least one study sample organization, *Special Studies formulate and review program objectives in terms useful for making program comparisons; they review in terms of costs and benefits the effectiveness of prior efforts, compare alternative mixes of programs, balance increments in costs against increments in effectiveness at various program levels with attention to diminishing returns and limitations of physical resources, and assess the incidence of benefits and costs as well as their totals.* [Ref. 67, p. 9].

> *In the case of an on-the-job training effort, the simplest measure of output in relation to cost might be the number of workers trained, or the student weeks of training supplied. The number of workers trained might also have added significance since it may reflect the diminution of dependence on public assistance. But the ultimate purpose of the program presumably is to improve the earning capacity of the*

COUNTRY_____ SELF-HELP or BPA AGREEMENT NO.(if any)_____ TYPE OF PROGRAM_____

Duration of Program_____ Date Initiated_____

(1)	(2)	(3)	(4)	(5)	(6) INPUTS												(7)	(8)	(9)	(10)
					A. CARE	B. Community				C. Government					D. Total Other					
Project Number	Type of Project	Appr. No.	Unit of Construction	No. of Recipients	Dollar Value Assistance	1 Labor	2 Materials	3 Cash	4 Total	1 Cash	2 Materials	3 Services	4 CARE Costs	5 Total	Vol-agency Local Organ. etc.		Total Inputs A+B+C+D	Estimated Costs By Gov't/ Private Sector	Remarks	Project Impact: Direct Economic Impact/ Social Services

202-a

Source: CARE, Inc., New York, March 9, 1971.

Fig. 18. CARE Cost Tabulation/Evaluation Form.

worker trained. The best measure of the success of the effort, therefore, might be the increase in income that results from the training. It is possible that a program which showed "low output"--in terms of the numbers of workers trained--might be more effective on this criterion because it was better taught, or focused on skills in shorter supply, than a program that showed a higher "output." [Ref. 67, p. 7]

As has been presented and discussed in preceding sections, one organization in the study sample indicated preference for pilot projects in project selection, rating this project selection criterion of prime importance (Table 21); 15 of the study sample NGO's employ pilot projects in their development assistance operations (Table 26). As shown in Table 27, six of the organizations in the study sample cited *replication of a pilot project* as a project effectiveness criterion; one NGO cited this as the third most important project effectiveness criterion--this was the same organization that indicated a preference for pilot projects. The importance of this criterion and its application reaches to other development assistance programs and projects; for example, IDS, in citing results of *international experience in agriculture and rural development,* reported that an *agricultural college is now the leading institution of its kind in Burma and has been an important source of trained personnel for the replication of the pilot projects.* [Ref. 138, p. 2].

As shown in Table 27, four of the organizations in the study sample cited *material accomplishments* as a project effectiveness criterion; in one instance this was the only criterion cited. On the other hand, Sy Rotter of PADF has stated that development is far more than physical objects [Ref. 39]. *The basic result that CRS looks for is to leave behind in a community something beyond the material accomplishment.* [Ref. 65, p. 33].

Two of the organizations in the study sample cited the *repayment of loans* for development assistance as a measurement of the effectiveness of the activity involving the loan (Table 27). In sharing experience in this area, PADF has *noted that loans to urban cooperative activities such as*

small industry have been sometimes difficult to recover because of marketing problems of goods produced. [Ref. 139, p. 26].

The international development assistance activities of AFME focus primarily on educational exchange; AFME cites the success and/or progress of foreign students studying in the U. S. under AFME auspices as a project effectiveness criterion (Table 27).

The RTI research team was encouraged by the cooperative attitudes and candid replies of the nongovernment organizations in the study sample. In a discussion of evaluation of their overall development assistance operation, the study sample organizations were asked what percentage of their development assistance projects were considered successful by the organization. Most of the organizations were subjective in their reply, indicating *some unsuccessful projects* or admitting to having *made some mistakes;* according to an IVS evaluation report, *the 17 years of IVS experience are conducive to the view that important contributions have been, and can continue to be, made.* [Ref. 12, p. 16].

Six of the study sample organizations offered numerical estimates of the percentage of their development assistance projects which have been successful. The range of estimates was 95-100 percent with an average estimate of 98 percent of international development assistance projects successful. Only IESC, however, of the six organizations, elaborated upon their estimate:

> *IESC volunteers achieved a success rating of 95.8 percent on the 1,312 projects they completed during the first five years. About two percent of the projects must be considered failures, usually because of some misunderstanding between volunteers and client. About two percent were unsuccessful at first try, for personal or technical reasons, but were turned into successes by dispatch of a second volunteer (at IESC expense).* [Ref. 94, p. 101].

In discussing and presenting recommendations and the development of program alternatives based upon evaluative

efforts, one report of a project in Southeast Asia summarizes that:

1) *An operation in Viet Nam at this time cannot be divorced from either the Vietnamese or U.S. governments whatever the source of funds;*
2) *It is the behavior of those administering the program that will in the end be the determining factor in its success or failure in meeting its objectives and its ultimate acceptance; and*
3) *Concern should not be the image* the *project creates of the* organization, *except for whatever impact this has on* the *particular program, but rather upon whether the program is actually beneficial to the people being served and in the attainment of its basic objectives.* [Ref. 133].

What we need to stress more than anything else is that American social workers working abroad must: (1) Avoid creating an enclave for themselves; (2) share increasingly their authority and responsibility to the utmost possible with the Vietnamese; (3) plan the earliest possible transfer of the program to the Vietnamese; and (4) become as much a part of the indigenous community as circumstances permit by avoiding austentious living and parading special privileges derived from their being Americans. Recommendations hinge on four pivotal ideas: (1) that the project should be continued and hopefully expanded with certain recommended new emphases, (2) that there be a change in funding the project as soon as possible from federal support to non-federal funding, (3) that steps be taken at once to increase and to insure long range indigenous leadership for the project and finally, (4) that a distinct unit within the organization *be established to serve as its voice in speaking out on major moral and social issues of the day.* [Ref. 133].

An IVS evaluation report offers the following summary:

IVS offers to cooperating countries :

a. *skilled, multi-national volunteers at lower cost than most technicians;*

b. *independence from some limitations and impositions associated with direct governmental assistance;*

c. *more prompt, flexible, and unbureaucratic responses to requests for help than are possible between governments; and*

d. *technicians with more congenial attitudes and greater willingness to accept hardship than is customary.*

IVS offers to prospective volunteers:

a. *an opportunity to fulfill alternative service requirements (for conscientious objectors);*

b. *an opportunity to serve, with minimal bureaucratic requirements and interference;*

c. *a convenient and inexpensive way to serve and work abroad under supervision that encourages creativity and learning; and*

d. *a mystique of volunteerism that is non-religious, non-political, and non-dogmatic.*

Consistent with past activities, IVS could also offer to prospective private and governmental clients:

a. *a source of trained and experienced ex-volunteers;*

b. *information about country conditions and contacts abroad; and*

c. *a convenient and effective way to select foreign participants for work or study in the United States.* [Ref. 12, pp. 18-19].

There has been no uniformity of results from the assistance we [W. K. Kellogg Foundation] *have tendered. Some of the aided programs seemed to have blazed new trails in the areas of health, education and welfare. Other assisted ventures have played moderate roles in helping children and adults to reach toward richer lives. A few programs have been relatively unsuccessful although most of these "failures" have not been exclusively so since they often have impelled a redirection of efforts toward a goal.* [Ref. 21, pp. 179, 180]

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III. EVALUATION OF TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE BY U.S. GOVERNMENT AGENCIES

A. Introduction

Several agencies of the U.S. Government, in particular those within the Departments of State and the Interior, are involved to varying degrees at different levels of international development assistance. During Phase I of this research effort, investigation focused upon methods and techniques employed in international development assistance activities by the Agency for International Development (A.I.D. or USAID) and the Peace Corps in the Department of State, and by the Office of Territories in the Department of the Interior (DOI) in the administration of the Trust Territory of the Pacific Islands (TTPI).

At the conclusion of the Phase I research effort, one of the recommendations formulated and presented called for *continued inquiry into A.I.D. and other selected U.S. Government agencies during Phase III to refine Phase I findings*. Such inquiry into certain U.S. Government agencies has continued to refine and extend information collected during the Phase I research effort regarding methods and techniques employed in international development assistance.

During Phase III, investigation into methods and techniques employed in international development assistance by civilian Government agencies has focused on the following agencies:

ACTION
- Peace Corps

Department of State
- Agency for International Development (A.I.D.)
- Bureau of International Organization Affairs (BIOA)

Department of the Interior (DOI)
- Assistant Secretary - Public Land Management
- Geological Survey
- Office of Saline Water (OSW)

Inter-American Social Development Institute (ISDI)

In addition to these agencies whose development assistance methods and techniques were studied, the library facilities of FSI in the Department of State were visited.

Elements of the methodology employed in collecting data from these civilian government agencies during the Phase III research effort, particularly as it differs from the general Phase III methodology presented in Chapter I, will be presented in following appropriate sections, together with a summary of findings from the Phase I and Phase III research efforts (see Figures 1 and 4).

B. ACTION

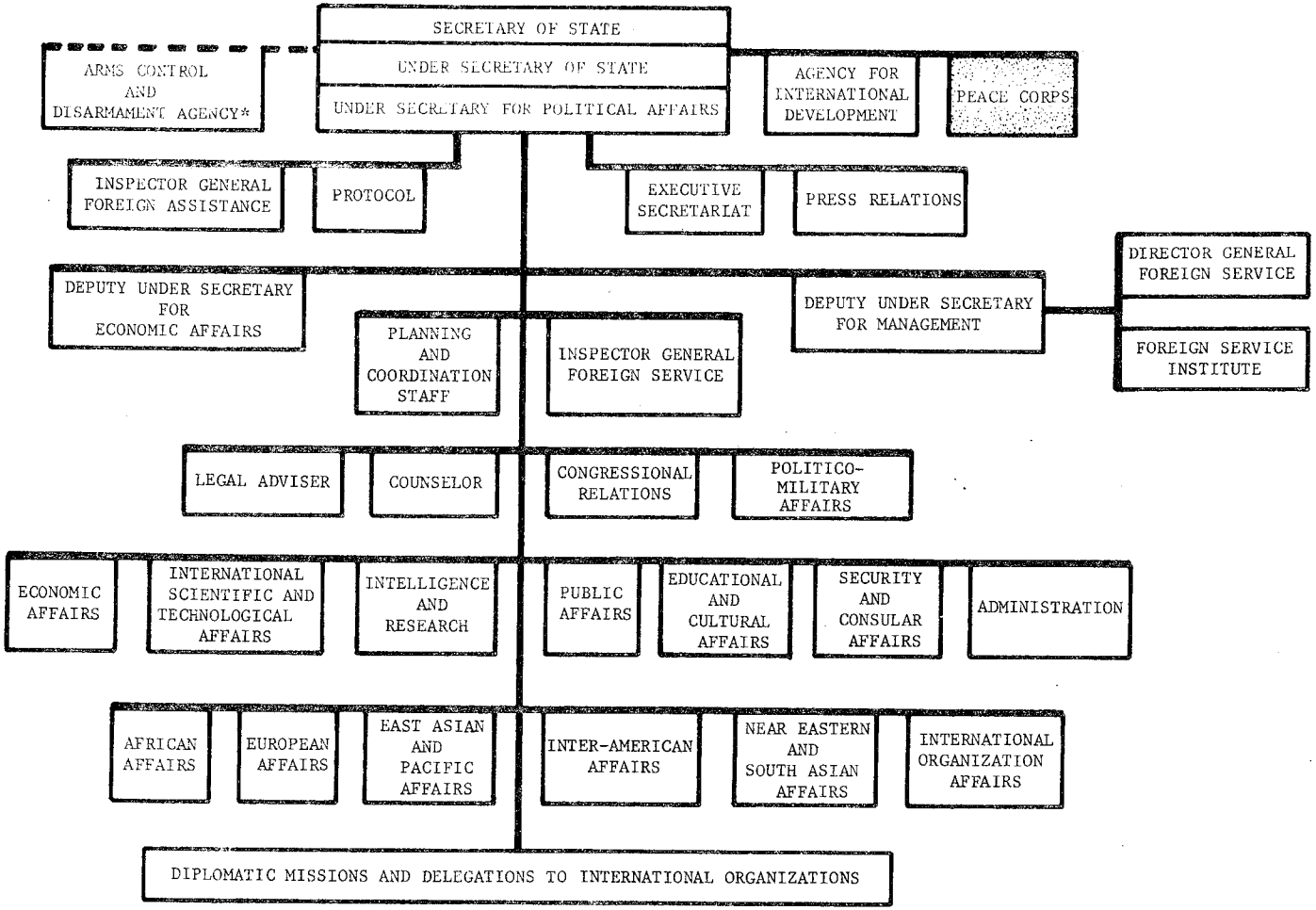
1. Background and Methodology

In 1961 the Peace Corps was created as a U.S. Government agency functioning under the jurisdiction of the Department of State, as shown in Figure 19, which outlines the organization of the Department of State as of July 1, 1971; the position of the Peace Corps is accentuated.

The stated purpose of the Peace Corps was to provide American volunteer workers *to help the people of interested countries and areas in meeting their needs for skilled manpower.* [Ref. 1, p. 37] To achieve this end, particularly in the so-called *developing countries* of the world, the Peace Corps had well-documented criteria for personnel and project selection and descriptions of training methods which will be discussed in following sections. In addition, there has been some general evaluation of Peace Corps procedures and activities.

A meeting with Peace Corps officials and personnel at the Peace Corps offices in Washington, D.C. on July 16, 1970, was not productive, in that the Peace Corps, in order to protect its position of complete separation from U.S. military and intelligence activities, refused to cooperate in this study sponsored by DOD. The Peace Corps further refused to release publicly available literature describing Peace Corps objectives, methods, techniques, and activities.

Available literature on the Peace Corps, however, is relatively complete and concise. The literature was examined during the Phase I



*A separate agency with the director reporting directly to the Secretary and serving as principal adviser to the Secretary and the President on Arms Control and Disarmament.

Source: United States Government Organization Manual, 1971/72 (Revised July 1, 1971). Washington, D. C.: U.S. Government Printing Office, 1971, p. 614.

Fig. 19. Organization Chart, Department of State, July 1971 showing Relative Position of the Peace Corps.

research effort for stated objectives, both general and specific; doctrine; staff and project organization; criteria for project and personnel selection; training methods; and techniques of planning, operations and evaluation.

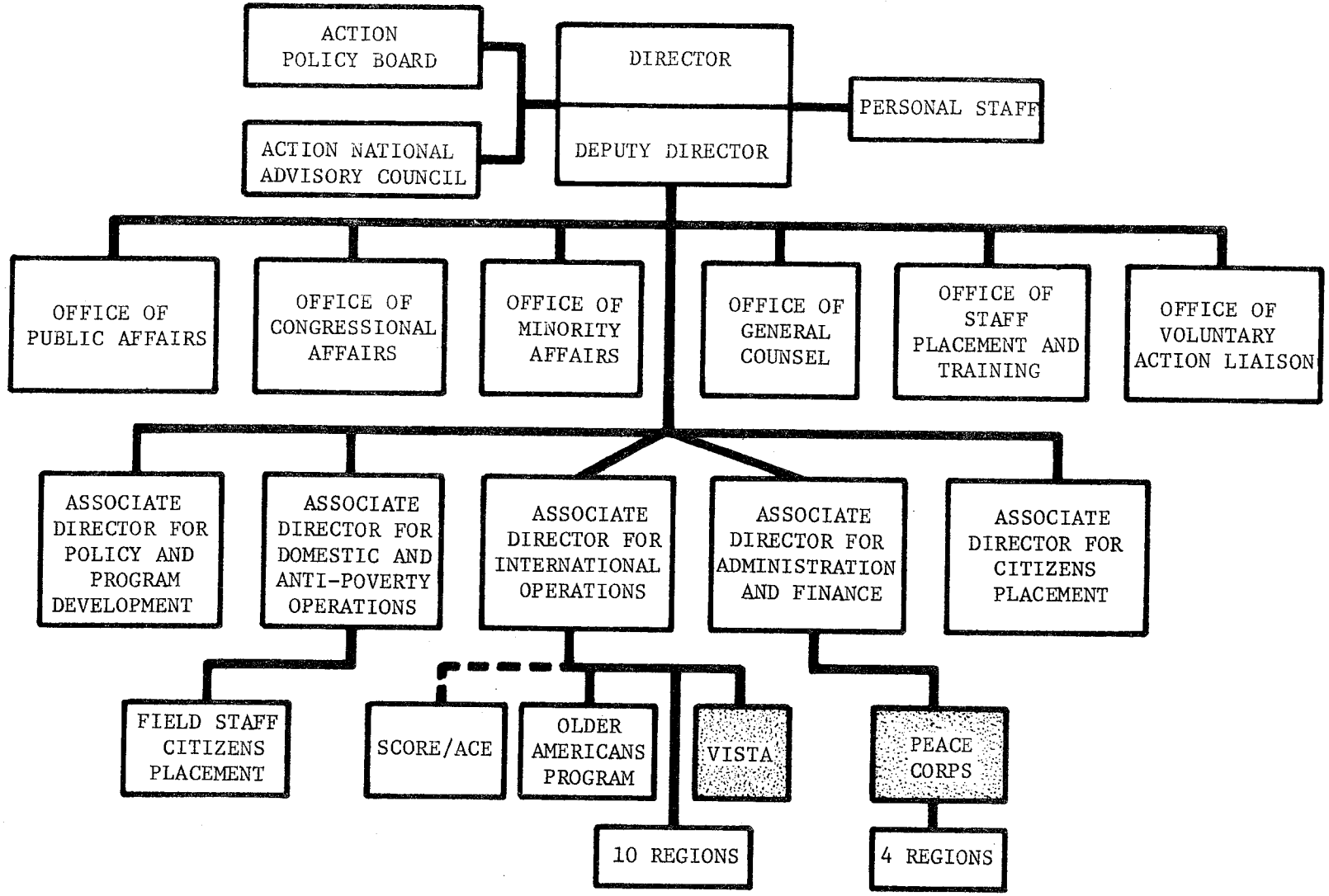
Since the meeting with Peace Corps representatives in July 1970, the Peace Corps has been part of a reorganization in March 1971 which created Action, an independent agency in the executive branch of the U.S. Government (hereafter called the Government) designed *to bring together a number of voluntary action programs presently scattered throughout the Federal Government.* [Refs. 2,3] The Peace Corps and VISTA (Volunteers in Service to America) were among the voluntary action programs combined under Action, as shown in Figure 20, which outlines the general organization of Action; the positions of VISTA and the Peace Corps are accentuated.

VISTA was mentioned in Chapter II as a source of personnel for nongovernment organizations (NGO's) involved in international development assistance, as was the Peace Corps, but VISTA is primarily a domestic program.

This section will be addressed primarily to methods and techniques employed in international development assistance by the Peace Corps. The findings presented in the following sections are primarily those of the Phase I literature search. There has been some additional literature review during Phase III regarding the position of the Peace Corps within Action and to further refine and update data collected during Phase I. In addition, RTI has been in communication with representatives of Action regarding directions which the reorganization is taking.

2. Selected Findings

Available literature regarding Peace Corps doctrine, objectives, staff organization, personnel selection, training methods, and planning techniques (project selection) was relatively concise and informative. Somewhat less objective was information available from the literature regarding project organization, operating techniques, and evaluation of Peace Corps procedures and activities.



Source: Telephone Directory: Department of State/Agency for International Development/Arms Control and Disarmament Agency, August 1971. Washington, D. C.: U.S. Government Printing Office.

Fig. 20. Organization Chart, Action, August 1971.

Again, most of the information presented here was gleaned from the Phase I literature search during the period July - December 1970. These Phase I findings regarding methods and techniques employed by the Peace Corps greatly influenced the design of the Phase III research effort.

a. Doctrine

Much of the Peace Corps operation seems to be based upon the belief that *the goal of developing countries is not just for better dams, better hospitals, better houses, or better highways, but for better people. And this is the goal of the Peace Corps.* [Ref. 4]

> *The idea of doing something positive and concrete to effect change and to solve problems ... is an implicit assumption of almost everything the Peace Corps has done.* [Ref. 5, p. 24]

> *In the earliest days ... Peace Corps officials, in common with other Americans then and today, believed strongly in two ideas. One was that education of almost any kind is good. The other was "education for development," the idea that schooling is the lever of economic progress in the world.* [Ref. 5, p. 45]

This point is particularly interesting when one recalls that 31 of the 34 NGO's in the Phase III study sample (Chapter II) are involved in some way in education projects overseas (Table 7).

> *The emerging role of the Peace Corps ... is to help provide the vital missing link between the village and the outside world.* [Ref. 5, p. 94]

David Hapgood and Meridan Bennett, who served the Peace Corps as program evaluation officers, *believe that the core of the mission is to change men's minds in their thoughts about themselves, their surroundings, and their ability to improve them. Furthermore, this idea is the basis of the community development discipline.* [Ref. 5, p. 123]

According to Joseph H. Blatchford, the Director-Designate of Action in May 1971, *the philosophy of ACTION is plainly stated:*

**ACTION will respond to local initiative and priorities, not create its own.*

**ACTION will leave management and leadership in the voluntary sector to those individuals and program sponsors who are on the front line.*

**ACTION is to be a practical example of productive private-Federal cooperation.*

**ACTION is to serve the needs of people and communities as they determine them.* [Ref. 6, p. 3]

b. Objectives

1) General

According to Sergeant Shriver, the first Director of the Peace Corps, *the purpose of the Peace Corps is to permit America to participate directly, personally, and effectively, in the struggle for human dignity.* [Ref. 7]

Pauline Madow, in discussing the origins and objectives of the Peace Corps [Ref. 8], stated its general purpose as *redirecting to peaceful pursuits the dedication, sacrifice, selflessness, and physical fitness engendered by war.*

President John F. Kennedy, whose Executive Order created the Peace Corps, stated its purpose as *to help foreign countries meet their urgent needs for skilled manpower.* [Ref. 8]

2) Specific

The specific objectives of the Peace Corps as stipulated by establishing legislation are as follows:

a) To provide interested countries with qualified volunteers to help those nations meet their needs for trained manpower,

b) To help other people better understand America, and

c) To help Americans better understand the other people of the world [Refs. 5,7,9]

These objectives have been widely interpreted. One author's interpretation follows:

a) To help give a new dimension to our foreign aid program;

b) To help Americans communicate with and understand millions of people who have little in common with us;

c) To help identify America with the revolution of rising expectations taking place in the world; and

d) To help their fellow Americans learn more about the twentieth century and their fellow men. [Ref. 1, p. 50]

More recently, the Reorganization Plan which created Action stated that *the Peace Corps' mission is to provide middle level manpower skills to developing nations and to promote increased understanding between the United States and other countries.* Furthermore, Action will provide *full-time overseas volunteers in the fields of education, agriculture, professional services (engineers, architects), trade skills (plumbers, machinists), health and community development.* [Ref. 2, p. 2]

Of interesting note is that four of the disciplines cited in the preceding paragraph as important program components of Action (*education, agriculture, health and community development)* are among the categories of development assistance which figure most prominently in the international development assistance operations of nongovernment organizations, as shown in Tables 7 and 8, which are of course based upon the findings relative to the Phase III study sample of NGO's.

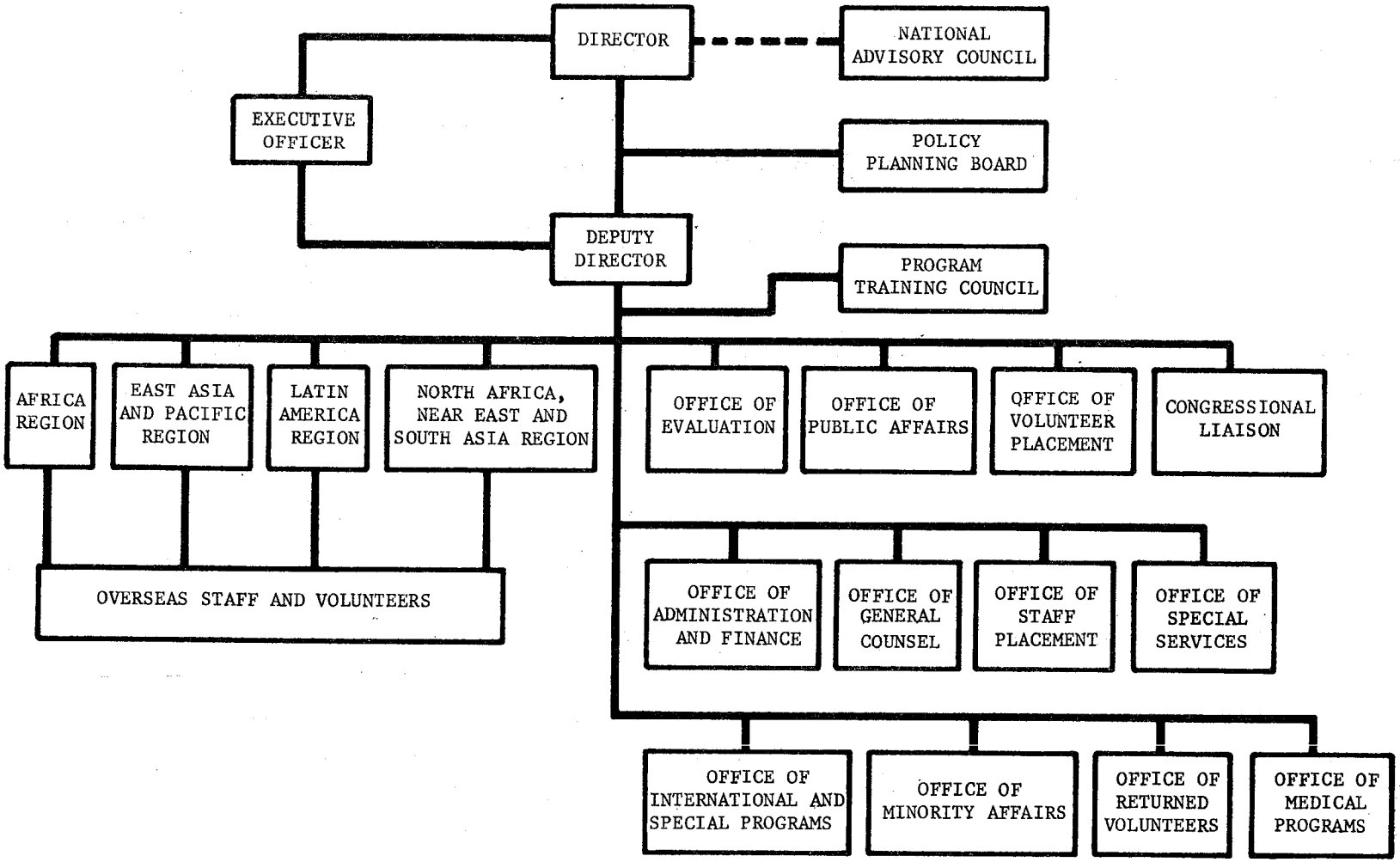
Throughout the philosophy and objectives of the Peace Corps, as stated in the preceding paragraphs, the mention of *felt need, the development of local skills, local determination and cooperation* and the importance attached to these elements are to be noted. These elements were cited by the NGO's as important project selection criteria, project effectiveness criteria and/or factors influencing the success or failure of development assistance projects.

c. Organization

Blatchford has stated that *the Peace Corps program will retain its essential operational freedom* and will not be *de-emphasized.* [Ref. 6, pp. 4,5] Therefore, it is assumed that the organization and operational aspects of the Peace Corps will not have changed significantly at this time.

The position of the Peace Corps in the overall organizational structure of Action has been shown in Figure 20. Figure 21, the most recent available organization chart of the Peace Corps from the 1971/72 U.S. Government Organization Manual [Ref. 10, p. 645] outlines the general organization of the Peace Corps, showing the relative position of the overseas Peace Corps staff and volunteers to the rest of the agency. Figure 21 also indicates that the Peace Corps categorizes its activities by geographic regions similar (if not identical) to those employed by the Department of State, A.I.D., and TAICH.

Figure 22 outlines the organization of overseas Peace Corps staff and volunteers, as derived from the literature. [Refs. 5,9] A Peace Corps staff representative stationed in each host country supervises Peace Corps operations in his area. There is usually one overseas staff person for about forty volunteers, although this ratio differs from country to country and even from year to year within a given host country. The Peace Corps representative usually has a staff of one or more Peace Corps field officers and a Peace Corps physician. The Peace Corps staff representative *guides and advises the*



Source: United States Government Organization Manual, 1971/72 (Revised July 1, 1971). Washington, D. C.: U.S. Government Printing Office, 1971, p. 645.

Fig. 21. Organization Chart, Peace Corps, July 1971.

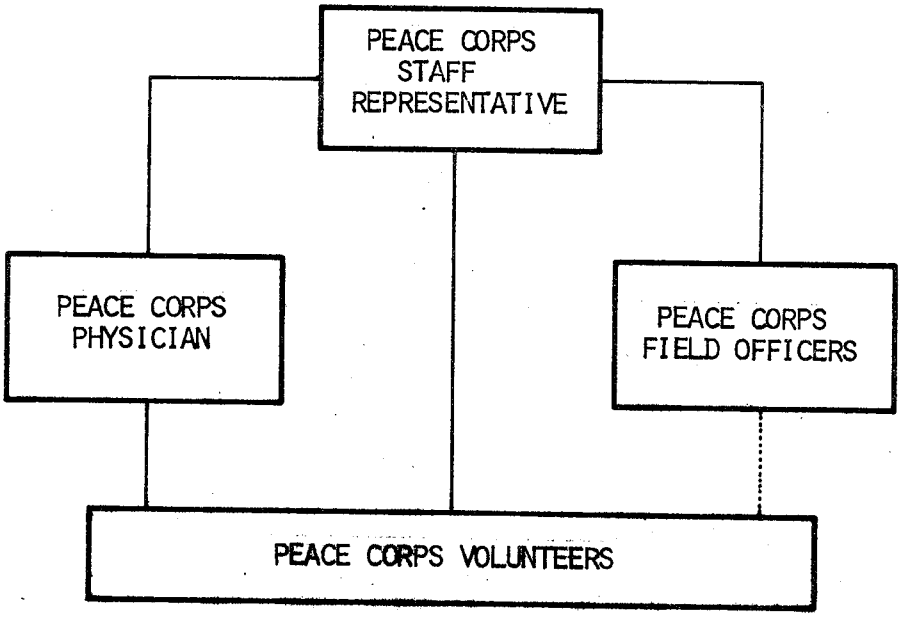


Fig. 22. Organization of Peace Corps Overseas Staff and Volunteers.

volunteers in their work and personal problems. With the help of the Peace Corps doctor, he is responsible for the volunteers' health, as well as their conduct, safety and protection. [Ref. 9] From the literature, the exact relationship between the field officers and the volunteers is unclear.

Press releases in 1971 placed Peace Corps personnel at 1,188 [Ref. 2, p. 2] and estimated *7,770 volunteers in 61 countries.* [Ref. 11]

d. Personnel Policies

1) Description of a Peace Corps Volunteer

A text used in preparation for Peace Corps Placement Tests describes a Peace Corps Volunteer in the following terms:

> *A man or woman with a certain amount of education, experience, and common sense who voluntarily elects to serve for at least two years in a foreign country and to help the people of that country to meet their needs for trained manpower.* [Ref. 12, p. 7]

Another author describes the *typical* volunteer:

> *The "typical" volunteer, the infantryman of the Peace Corps, is what the agency calls the "B.A. generalist": a college graduate who majored in the liberal arts and went into the Peace Corps upon graduation.* [Ref. 5]

As has been presented and discussed in the preceding chapter, the *B.A. generalist* is falling into disfavor as a volunteer with many NGO's as more and more development assistance requires technical skill. As was cited in a previous section of this chapter, *professional services* and *trade skills* were cited as characteristics of Action volunteers overseas. [Ref. 2, p. 2]

Peace Corps members serve two years teaching modern methods in developing nations. They get expenses, plus $75 a month separation allowance.

After completing a regular term in the Peace Corps or VISTA, plans call for transfer to the other agency, if a volunteer wants to make the move.

"For example," a spokesman for Action explains, "a Peace Corps volunteer returning from two years in Latin America with a good knowledge of Spanish and the life-style of the area might be a natural to work with Spanish-speaking persons in a VISTA project. The reverse also is possible.[Ref. 11]

2) Personnel Selection Process

a) Applicants are divided into *prime* and *non-prime* categories depending on whether or not they hold a college degree.[Ref. 5]

b) A letter is sent to the applicant's references enclosing a three-page questionnaire asking for considerable confidential information; these answers given by the applicant's references determine whether he is finally accepted by the Peace Corps more than any other factor.[Ref. 9]

c) Peace Corps Placement Test, the purpose of which is to help the Peace Corps selection personnel learn more about the applicant; there is no passing or failing score.[Ref. 5] From the literature, it would appear that the Placement Test is composed of general and language aptitude sections.[Ref. 7, p. 165 ff.]

Only one out of every six applicants is accepted into the Peace Corps training program, but even during the training period, the trainee is constantly assessed by his instructors and by the Peace Corps selection personnel to determine whether he has the qualifications to become an effective volunteer. There is the ever-present possibility of elimination. Four out of five trainees

successfully complete the training program, qualify medically, and are selected as full-fledged volunteers. [Ref. 9] Therefore, only some two out of every fifteen applicants actually becomes a volunteer.

3) Personnel Selection Criteria

Potential Peace Corps Volunteers are carefully examined for the following general qualities:

a) Intelligence;

b) Knowledge of U.S. history, institutions, and values;

c) Health and stamina;

d) Emotional stability; and

e) Desirable personal attributes.[Ref. 7] These are described by Hoopes as *qualities of personality required for establishing effective relationships with fellow workers in other countries, such as friendliness, gentleness, patience, ability to lead or follow, interpersonal warmth and sensitivity, ability to communicate, dedication to the service of people, a sense of mission in the context of good judgment, and respect for and acceptance of other people regardless of race, social class, religion, or ethnic origin. It is expected that these attributes will be identified through personal references, tests, interviews, peer ratings, and observation of behavior during the training period.* [Ref. 7, p. 154]

Other requirements include:

a) U.S. citizenship.

b) Age - *at least 18 years of age.*

c) Marital status - prospective volunteers must *be single, or, if married, both husband and wife must volunteer.* [Ref. 7, p. 151]

The Peace Corps questionnaire, which *also serves as an application form* and is *designed primarily to help the selection officers obtain some idea of the applicant's basic skills and competence, asks for the following kinds of information:*

Education
Job Experience
Proficiency in languages
Technical skills
Availability for Peace Corps service
Special foreign-area knowledge
Health
Military service
Hobbies, and athletic participation
Organizational activity and leadership
Geographic preference for assignment [Ref. 7, pp. 163-164]

A *plus factor* cited by Hoopes is international experience.[Ref. 7, p. 155] Prospective Peace Corps volunteers must meet certain more specific requirements by showing:

a) Job competence, and

b) Language aptitude,

with language aptitude being considered one of the most important criteria for selection.[Ref. 7] No degree is required and there is no upper limit on age.[Ref. 5]

According to Hapgood and Bennett [Ref. 5], *the most fundamental* requirement is to be *willing and able to engage at a deep emotional level with people of another culture.*

The skills most in demand are teaching, agricultural and rural development, and health.[Ref. 7]

4) Training Methods

The general purpose of the Peace Corps training program is twofold:

a) To provide the volunteer with information about, and an understanding of, the country to which he will be assigned, and a knowledge of its language; and

b) To provide the Peace Corps staff with an opportunity to determine the capacities of the volunteers to undertake specific assignments abroad. [Ref. 1, p. 132]

More specific objectives of the Peace Corps training program include:

a) An understanding of Peace Corps purposes, philosophy, and programs;
b) Basic conversational ability in the host country language;
c) Knowledge of the geography, economy, history, traditions and customs of the host country;
d) A comprehensive review of U.S. history;
e) An understanding of contemporary world affairs;
f) An appreciation of communist theory and tactics;
g) Knowledge of health hazards in the host country and necessary medical precautions;
h) Improvement of technical or academic skills; and
i) Strengthen the physical, emotional and mental resources of the volunteer.[Refs. 7,9]

Each training program is designed with a specific country and project in mind. Because overseas Peace Corps projects differ greatly, no two training programs are exactly alike, but all do have major areas of study in common [Ref. 9], and are generally *divided into three interrelated parts--occupational, personal, and cultural.* [Ref. 1, p. 133]:

a) The occupational aspect of the Peace Corps training programs fosters job competence, confidence, and communication with indigenous personnel.
b) The personal aspects include physical fitness and first-aid training; training in the handling of psychological stresses and the development of good mental health with emphasis on attitudes, motivations and morale; and training to survive

in an alien social situation--living at the level of counterparts in society and mastery of foreign language while retaining American identity and earning respect by technical competence, leadership and administrative ability, sincerity and decorum.

c) Cultural preparation of the Peace Corps candidate includes American studies--U.S. history, institutions, foreign policy, current affairs, Peace Corps objectives and relationship of the Peace Corps to traditions and objectives of the United States; and area studies of the host country and its regional setting, including cultural patterns, language and specific data dealing with host country political history, economic and social development and aspirations.[Ref. 1, pp. 133-136] The area studies help point the ways in which specific Peace Corps projects might hasten economic and social development of the host country.[Ref. 9]

Peace Corps training programs may take place in whole or in part at an American college or university; part of the training may also take place at a Peace Corps training center. In addition, the host country usually conducts some orientation and training sessions for the Peace Corps volunteer upon his arrival in the host country.[Refs. 1,7] Many Peace Corps projects approximate the following training schedule:

a) Two months at an American college or university selected for its skills needed on a particular project or area studies of the area in which the volunteer will be serving--or, whenever possible, both.

b) One month at a Peace Corps field-training center if the project is one administered directly by the Peace Corps. This phase of the training may be eliminated, depending on the nature of the project. Activities at the field-training center include expeditions, community development projects, map and compass exercises, first aid, water activities, rock climbing, language studies and lectures on current events.[Ref. 1, pp. 140-143] Private nongovernment organizations may also elect to put volunteers assigned to them through a Peace Corps training center course.[Refs. 1,7]

c) One month's orientation and specialized training on arrival in the host country.

For more detail on Peace Corps training programs, the reader is referred to the cited references.

e. Planning Policies and Guidelines

The project areas in which the Peace Corps is most interested are as follows:

1) Community development,
2) Education,
3) Agricultural extension, and
4) Public health.[Ref. 7]

Community development, as used here, is defined by one author as the *process whereby individuals at the grass-roots level learn to become alert, responsible citizens with ability and desire to enter into decisions that will affect their future and the future of their families.*[Ref. 8] Another author states that *community development is based on the simple idea that the best way to improve the conditions of life in any environment is to devise a program that the people themselves can carry forward by their own efforts, after participating with others in its initiation.*[Ref. 1, p. 76]

In selecting a project, the Peace Corps considers the following features of the project and the area in which it is to be implemented:

1) Need and interest
2) Relationship to U.S. foreign policy
3) Type of work involved
4) Personnel policies
5) Availability of health and medical care
6) Cohesiveness
7) Impact
8) Magnitude
9) Skill requirements and flexibility
10) Level of host-country contributions and participation
11) Self-help
12) Effect on local employment
13) Feasibility
14) Capital contributions
15) Type of administration [Ref. 7]

According to Hapgood and Bennett, *an additional requirement for successful Peace Corps participation in rural action is suggested by the volunteers' experiences.* [Ref. 5, p. 96] These authors further indicate that *two main concepts have governed programming: The first concept views young Americans with a commitment to service as "good seed" to be cast abroad on foreign soil, there to sprout and grow and cast their seed in turn. The second, or development assistance, concept of Peace Corps programming assumes that what matters most is development--the goods, attitudes, skills, energy, and institutions needed to eliminate poverty and misery. Volunteers should be assigned to where they can most effectively aid the course of modernization.* [Ref. 5, pp. 197-199, 204]

f. Operating Techniques

The Peace Corps volunteers are more or less on their own in the host country and each Peace Corps project is relatively unique; therefore, the operating techniques are quite specific.

The literature did not reveal any concise or well-documented operating guidelines.

According to Hapgood and Bennett,

> *The volunteer has to study his whole environment to see how the rural system works. The most successful volunteers have found for themselves a role as "agents of change." Such agents, according to our interpretation of the Peace Corps experience, usually work along these lines:*
>
> *To adapt and apply improved productive technology;*
> *To understand the local culture;*
> *To explain the intruding world culture;*
> *To increase the options of the aided;*
> *To increase the power of his hosts while deliberately limiting his own.* [Ref. 5, pp. 96, 206-211]

g. Evaluation

1) Methods of Appraisal

The Office of Evaluation of the Peace Corps (Figure 21) has sent *critically-minded men into the field to interview volunteers and bring their opinions to the attention of the Washington bureaucracy.* [Ref. 5, p. 39] Hapgood and Bennett *evaluated seventeen overseas Peace Corps programs and visited many more.* [Ref. 5] However, the specific methods of appraisal employed by Hapgood and Bennett and the Peace Corps' Office of Evaluation are not documented.

2) Project Effectiveness Criteria

Peace Corps project effectiveness criteria are certainly not documented or well defined, but some impressions can be gained from the literature:

a) *The real test for any enterprise is its performance and the demand for its services.* [Ref. 4, p. 7]

b) The practice has been to rate effectiveness in introducing ideas and practices that result in *progress.* [Ref. 5]

c) *To be successful the volunteer has found he has to work with groups rather than just individuals.* [Ref. 5, p. 158]

d) *No one is sure what constitutes "success" for a volunteer overseas. Many of the effects (if any) of his presence will not make themselves felt till years after he has left. For some, sheer survival for two years is some kind of accomplishment. For a long time the Peace Corps tended to call successful anyone who hung on for two years.* [Ref. 5, pp. 18, 183]

3) Evaluation of the Peace Corps

There has been considerable subjective evaluation of the Peace Corps, its programs, and its activities. A few examples of some of the shortcomings and successes of the Peace Corps that have been discussed in the literature are cited in following paragraphs.

a) Failures

One author has cited the major shortcomings of the Peace Corps as an inability to attract volunteers with certain scientific skills and difficulty of increasing its numbers without lowering its standards. [Ref. 8]

Hapgood and Bennett say that *the Peace Corps can make no great claims to accomplishment. There is also the possibility that the Peace Corps may at times have done harm.* [Ref. 5, pp. 217-220] Hapgood and Bennett do not describe an agency which has successfully supplied needed trained manpower to inviting countries. In fact, their picture is one of untrained Americans busily performing an indefinable job for a host country that has been told that they may have trained manpower from America to help meet their needs. Specific criticisms by Hapgood and Bennett include the following remarks:

i) Objectives: *So broad were the objectives that they were at once impossible to achieve and at the same time permissive of a whole range of wild experiments.*

ii) Personnel Selection: The agency is described as being culturally biased in favor of *middle-class* college graduates *who bring the agency little in the way of technical skills.*

iii) Training: Amateurs, rather than trained manpower, constitute what the Peace Corps offers, and amateurs can hardly meet the first objective of the Peace Corps (to help underdeveloped nations meet their needs for trained manpower).

> *The idea that the volunteers were providing the technical aid that could be measured--and hopefully photographed for use in the next recruiting pamphlet--had to be played down when the volunteers turned out to be generalists without technical skills, and when the early volunteer-promoted urinals and other more photogenic monuments fell into disuse following the strangers' departure.* [Ref. 5, pp. 197-199]

b) Contributions

Hapgood and Bennett remark favorably on the Peace Corps' constant self-evaluation at all levels and flexibility, particularly with regard to training methods. In their opinion:

> *We Americans are likely to draw high dividends from our investment in the Peace Corps. Americans are getting a very special kind of education at a bargain price: this is the clearest result of the Peace Corps experiment.* [Ref. 5, pp. 217-220]

Pauline Madow lists the principal contributions of the Peace Corps as follows:

i) Ability to organize grass-roots democratic activities;

ii) Creation of close emotional rapport with foreign peoples;

iii) Example provided of foreign assistance carefully designed to meet specific needs of each country; and

iv) Infusion of American youth once again with the spirit and values of the American Revolution and frontier. [Ref. 8]

A Colombian statesman, Alberto Llera Camargo, has said that the Peace Corps is *the finest way in which the United States could provide that the primary purpose of its international program is to build a better life in all the free world's villages and neighborhoods.* [Ref. 4]

Vice President Emmanual Pelaez of the Philippines once said:

> *The Peace Corps represents the latest example of the far-sighted and unselfish idealism which illumines the brighter pages of the history of the American people. It is in the bold and imaginative tradition of the Marshall Plan, the Point Four Program and the Atoms for Peace Program. And it has an added virtue all its own which is vastly important, I believe, to the newly independent peoples of Asia and Africa. This is the open, public avowal that the Peace Corps is not an arm of the cold war but is rather, as the Peace Corps describes itself, "a genuine experiment in international partnership, a contribution to the world community".* [Ref. 4, p. 123]

C. Department of State

Within the U.S. Department of State, the international development assistance activities of A.I.D. and BIOA were investigated during both Phases I and III. In addition, the library facilities of FSI were visited. The positions of A.I.D., BIOA, and FSI within the organizational structure of the State Department are shown in Figure 23, which outlines the organization of the State Department as of July 4, 1971 (notice the absence of the Peace Corps). As indicated in the introduction to this chapter, the primary purpose of further research during Phase III into methods and techniques employed in international development assistance by selected U.S. Government agencies was *to refine Phase I findings*. Time and money limitations will not permit an analysis as extensive as that performed on the NGO's. The following discussion and analysis will focus primarily on the more concise data which have been collected during Phase III, data which complement and/or supplement data collected during Phase I.

1. Agency for International Development

a. Background and Methodology

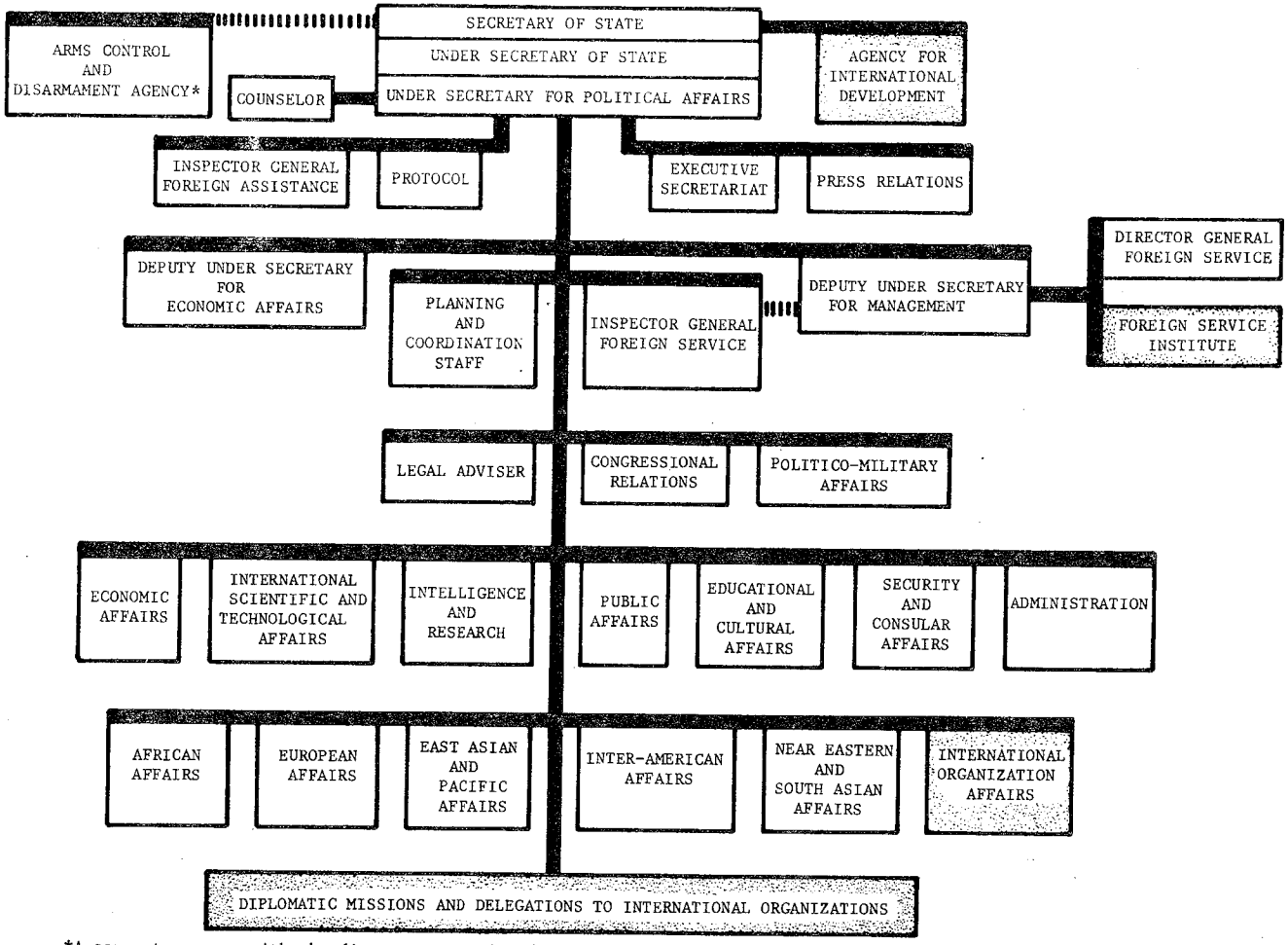
During Phase I, the study of A.I.D.'s involvement in international development assistance focused primarily on the historical, legislative and philosophical development of A.I.D. and its role in military assistance and MCA. In addition, some attention was paid to the A.I.D. planning, implementation and evaluation systems documents and their use.

During the months of August and September 1971, visits and/or calls were made to the following offices within A.I.D. in order to collect additional data regarding methods and techniques employed by the various branches of A.I.D. in international development assistance:

Bureau for Program and Policy Coordination

A.I.D. Reference Center

Office of Policy Development and Analysis



*A separate agency with the director reporting directly to the Secretary and serving as principal adviser to the Secretary and the President on Arms Control and Disarmament.

Source: Telephone Directory: Department of State/Agency for International Development/Arms Control and Disarmament Agency, August 1971. Washington, D. C.: U.S. Government Printing Office.

Fig. 23. Organization Chart, U.S. Department of State, as of July 4, 1971, Showing Positions of Agency for International Development, Bureau of International Organization Affairs, and the Foreign Service Institute.

Bureau for Technical Assistance

Office of Program and Methodology

Office for Private Overseas Programs

Voluntary Agencies Division

Bureau for Latin America

Office of Population and Civil Development

Office of Personnel and Manpower

Foreign Service Personnel Division

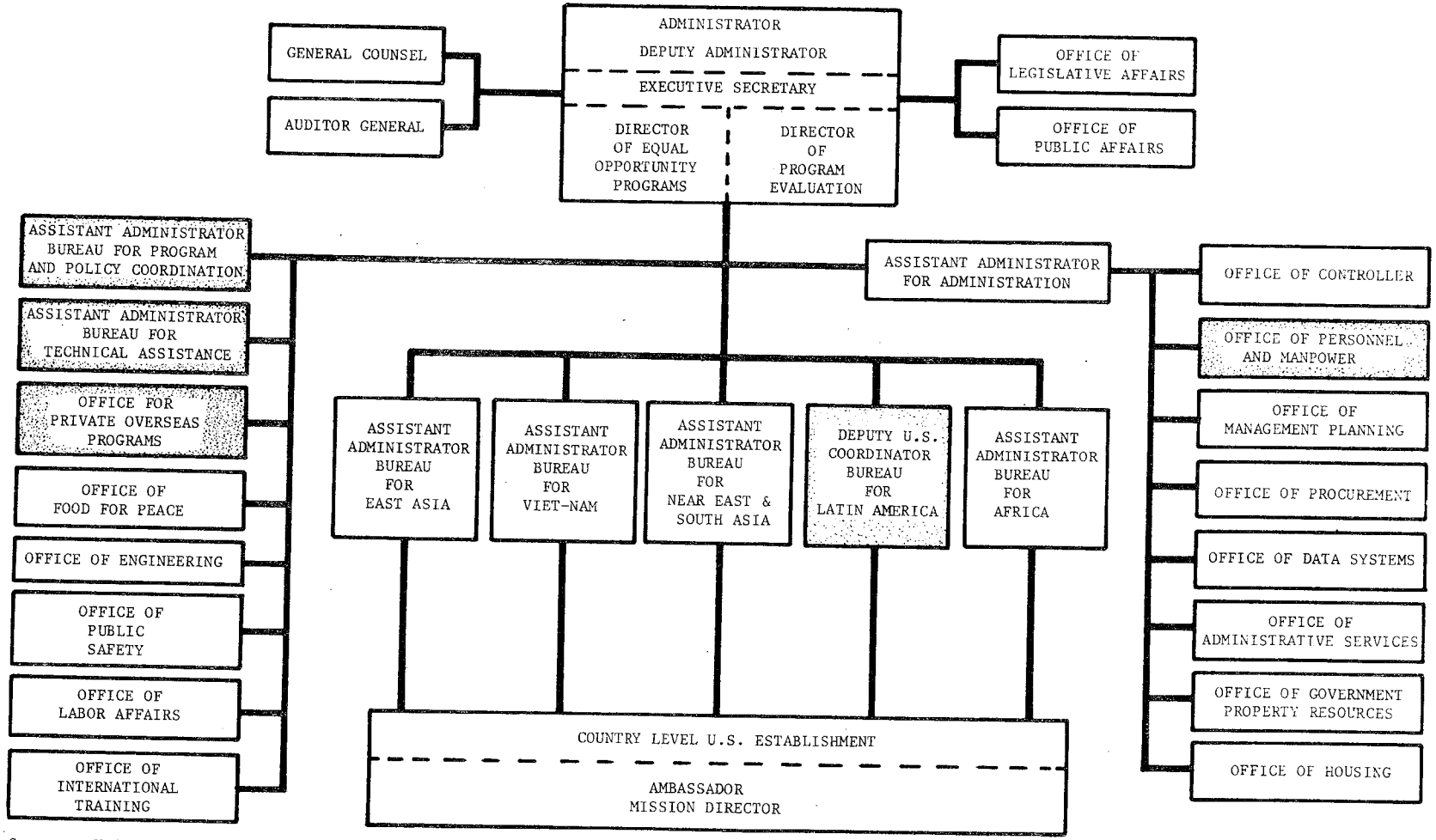
Manpower Development Division

The positions of these offices and bureaus within the organizational framework of A.I.D. are shown in Figure 24, which outlines the organizational structure of A.I.D. as of April 28, 1971.

Most of the information presented in the following sections was obtained through personal communications, verbal and/or written, with representatives of the above bureaus, offices and divisions within A.I.D. The questionnaire in Appendix C was employed as a guide for the interviews, but the questionnaire was not mailed to the A.I.D. representatives in advance of the interviews due to the functional and physical separation of the various A.I.D. offices. Appropriate questions from the questionnaire were, however, asked of appropriate A.I.D. representatives. Data supplementary to the personal interviews and other communications, which were provided by the various A.I.D. representatives and offices, were not processed due to time and money limitations.

b. Objectives

According to Kenneth Levick in A.I.D.'s Bureau for Technical Assistance, the purpose of A.I.D., which was established as an agency within the State Department in 1961, is to provide bilaterally organized technical assistance in the field requested by the host country government. [Ref. 13] According to the U.S. Government Organization Manual, *A.I.D. carries out U.S. overseas programs of economic and technical assistance to less developed countries designed to bring countries to a level of self-sufficiency.* [Ref. 10, p. 94]



Source: United States Government Organization Manual, 1971/72 (Revised July 1, 1971). Washington, D. C.: U.S. Government Printing Office, 1971, p. 628.

Fig. 24. Organization Chart, Agency for International Development, as of April 28, 1971.

c. Personnel Policies

1) Recruitment

The Office of Personnel and Manpower is responsible for recruiting and hiring some 6,000 *direct hire* personnel each year for A.I.D. Of these direct hire personnel, part are General Service (GS) and part are Foreign Service Reserve (FSR). For the GS personnel, the Civil Service Commission (CSC) Register is used and CSC sets the requirements.

A.I.D. sets the requirements for the FSR's, who are recruited from campuses, professional societies, and through advertising in newspapers and journals. In recruiting FSR's, A.I.D. usually seeks to fill a specific slot. They have a talent bank of applications on file; nonetheless, they usually have to recruit scarce skills such as economists and accountants, although this is true of most professions.

The direct hire personnel do not include some 7,000 *local nationals* who are hired by the A.I.D. mission in the host country. The hiring of local personnel is worked out on a local basis with the host government.[Ref. 14]

2) Personnel Selection

The only specific information on personnel selection was in reference to *international development interns*. Since there are usually five candidates for each available slot, assessment begins before the candidates are even presented for selection. Recruitment is the first screen. Some of their candidates come from the Peace Corps.

There are general and specific criteria and both positive and negative criteria. Among the criteria that are considered in selecting a candidate are the following:

a) Demands of the position to be filled.
b) Language capability is preferred.
c) Technical specialty.
d) Demonstrated flexibility and viability.

e) Degrees.

f) Experience related to the position to be filled.

g) International experience.

h) Past performance and positions held.

i) References.

j) Security forms.

k) Intellectual ability.

l) Ability to communicate.

m) Demonstrated leadership and management capability.

n) Career motivation.

o) General attitudes.

It is not known whether the order of the above-listed personnel selection criteria represents any kind of priority ranking. Similarly, the exact meaning of some of the criteria and the manner in which they are assessed is somewhat unclear. There is constant internal assessment once the candidate has been accepted into the international development intern program by A.I.D., but so far only one accepted candidate has been dropped for unsatisfactory performance.[Ref. 15]

The first stage of hiring for overseas personnel involves a 30-month assignment of which six months is training and two years overseas tour. After the overseas tour, these FSR personnel may be separated, converted to career or given onward assignment without promotion. Of these new employees, about 20 percent are not converted at upper levels, some 22 percent of the FSR. In one year, 91 were converted and 128 were not converted at the GS-3 level.[Ref. 16]

3) Training Methods

Again, the only specific information regarding A.I.D. training methods is in reference to the international development intern program, in which the emphasis is on *fundamental human relations*. The training session includes six weeks of orientation and three weeks of area training, and usually

lasts 12-14 weeks to include sufficient language training. Language aptitude screening is performed with the Modern Language Aptitude Test (MLAT), which is also used by the Peace Corps as part of their Placement Test. Some of the language training for international development interns is conducted by FSI and some is handled by commercial firms. A.I.D. does not use universities for language training because such training is *too academic*. [Ref. 15]

4) Personnel Evaluation

Evaluation of A.I.D. personnel is performed yearly, in sophisticated and detailed form as a combination Performance Evaluation Report/Development Assessment Report (PER/DAR). These reports are now unclassified, prepared by the field supervisor, reviewed in the mission, then by placement officers, and once a year by a three-man evaluation panel by rank of employee. The evaluation panel are in-service people. [Ref. 17]

The evaluation may be for promotion or *selection out* (separation), which occurs if someone appears in the lowest 10 percent of the personnel for two years in a row. Of the ones who are selected out, however, 50 percent appeal and of those 50 percent, 75 percent win their appeal. [Ref. 16]

d. International Development Assistance Operations and Evaluation

The A.I.D. planning, implementation and evaluation systems documents and their use as of November 1970 are outlined in Appendix S to this volume of this final report, which summarizes the much-discussed and controversial PROP (Non-capital Project Paper) - PIP (Project Implementation Plans) -- PAR (Project Appraisal Report) system of A.I.D.

For purposes of comparison with previously cited project selection criteria of the nongovernment organizations and Peace Corps, there are certain established criteria common to all A.I.D. projects which are cited in Appendix S. These include:

1) A.I.D. strategy.

2) Host country development plan.

3) Other donor activities (private sector?).

4) Available resources (personnel, funds, and material).

In addition, the PROP and PIP require the following information (see Appendix S):

1) Economic justification and feasibility.

2) Strategy and timing.

3) Work and personnel plan.

In development assistance, several techniques are employed separately and in combination to assist nations in their development process. They are:

TECHNICAL ASSISTANCE.--Through assignment of technical experts as advisers to the public and private sectors of less developed countries, A.I.D. helps build the basic institutions and develop the basic human skills required for sustained economic, social, and political development. A.I.D. obtains these advisers directly and through contracts with U.S. universities, business firms, labor unions, and other private organizations or through special loan arrangements with other Federal departments and agencies.

Participant training, provided mainly in the United States for cooperating country nationals, is designed to meet specific manpower development requirements. It is provided by U.S. Government agencies and the private sector. Academic studies, on-the-job training, and special programs groom individuals to assume an important role in the technical and economic advance of their countries.

CAPITAL ASSISTANCE.--Through capital loans, repayable in U.S. dollars on more favorable terms than private banks would offer, A.I.D. helps less developed countries obtain and finance the U.S. produced goods and American services required for specific development projects. These loans are conditioned upon matching measures of self-help by the recipient country to further its own development.

COMMODITY ASSISTANCE.--Loans and limited grants are made to finance importation of U.S. commodities needed for general development or for specific economic sectors. Foreign buyers are generally local merchants and distributors, but, in some instances may be the host government. This assistance is also used to promote overall economic policy improvements and reforms.

Under the Food for Peace (Public Law 480) program U.S. produced food and fiber is made available as an integral part of total U.S. assistance. This is done in concert with the U.S. Department of Agriculture's program of price stabilization and export market development. Specific elements of the program include: sales; food for work projects; emergency and disaster relief; and U.S. voluntary agency and international organization distribution programs (see Chapter II).

Agriculture, population growth, and education are the dominant challenges to development, and A.I.D. has extended the highest priority to the alleviation of problems in these areas in the less developed nations in which the United States has programs. [Ref. 10, pp. 94-95]

A.I.D. operates through both grants and contracts and uses NGO's for extension of A.I.D. programs, as indicated in the preceding chapter. Of the NGO's included in this research effort, AIFLD, the Asia Foundation and IESC are among those NGO's which receive considerable financial support from A.I.D. Interestingly, these cited NGO's are widely divergent in philosophy, focus and approach.

According to a Carnegie Corporation report, *sponsorship by the Agency for International Development and its predecessor agencies of new private organizations to provide technical assistance to developing countries came about for the straightforward reason that, in the administration of the aid program, there proved to be a distinct need for certain specialized kinds of services that no existing private agency or university was able to provide and that could not be developed as economically or efficiently within the governmental bureaucracy itself.* [Ref. 18, p. 7]

A.I.D. technical assistance manuals are in preparation [Ref. 19]. In order to exploit more efficiently and effectively the essence of A.I.D. project design and evaluation material, Kenneth Levick of A.I.D.'s Bureau for Technical Assistance referred interested parties to A.I.D.'s *think-tank*, Practical Concepts, Inc.[Ref. 13]

As cited in Appendix S, the Project Appraisal Report (PAR) bases its evaluation on the following criteria:

1) Effectiveness--were targets achieved?
2) Significance--did achievement contribute to economic development?
3) Efficiency--was the cost reasonable for the benefits realized?
4) Inputs/outputs.
5) Schedule Status (See PIP--Appendix S).
6) Program Implications.

For more information and detail on A.I.D. evaluation guidelines and techniques, the reader is referred to A.I.D.'s Evaluation Guidelines for Project Assistance (M.C. 1026.1, Supplement I) [Ref. 20] and Evaluation Handbook (M.C. 1026.1, Supplement II) [Ref. 21].

In discussing *the role of USAID in furnishing new science and technology*, Albert H. Moseman remarked that *there is uncertainty about the feasibility of building and maintaining an effective support base for research and other long-range activities within an organization so strongly oriented to general economic assistance, so concerned with highly visible and short-range operational projects, and so subject to frequent reorganizations.* [Ref. 22, p. 75] In fact, several A.I.D. staff members repeatedly remarked upon A.I.D.'s *temporary* status. According to John Gardner, *if Congress and the American people were given the opportunity to see certain technical assistance activities in an organizational setting somewhat apart from the rest of the foreign aid package, they would readily grasp the essential long-term character of these activities. They would see that they are to be thought of on a par with our other long-term, international educational efforts--efforts which the nation has no intention of terminating. The Bell Report spoke of the possibility of "a new kind of government research and development establishment which might be called a government institute." Such an institute, the report said, would reproduce within the government structure "some of the more positive attributes of a nonprofit corporation." The goal would be to combine maximum*

operating flexibility with full accountability to government. [Ref. 23, p. 45] Such an organization may develop in ISDI, which will be discussed later in this chapter.

In discussing *constraints which tend to affect the performance* of parties to technical assistance-institution building programs and projects, Wood states that *the constraints with which AID must contend have received a good deal of publicity, but far too little attention in both project planning and administration. They include:*

1) *The numerous political pressures transmitted to AID from Congress: for immediate, measurable and spectacular results, rather than for those which may be much more important, but less easy to measure; for obligating an appropriation before the fiscal year ends (for fear that it may be lost forever) with the expected result, in a crisis, of relegating careful planning and execution to positions of secondary importance; along with those pressures resulting from shifts in Agency policies, and in the Agency's leadership, which may be associated with changes in technical assistance objectives.*

2) *Internal AID pressures, related to the pressures from Congress, but partly generated from within the bereaucracy itself, such as time-consuming committee meetings and clearances. These constraints are aggravated by a shortage of AID personnel fully qualified to deal with the complicated problems associated with the administration of institution building projects, as well as by the country-plan orientation of AID, with the concomitant and sometimes confusing division of authority between AID-Washington and its Field Mission.* [Ref. 24, pp. 73-74]

2. Bureau of International Organization Affairs

a. Phase I

On July 29, 1970, a meeting took place with William Kerrigan, Deputy Director, with regard to U.N. activities in certain areas of socioeconomic development and evaluation of U.N. projects in these areas. In addition to a general discussion, the Bureau suggested specific individuals within the U.N. for further investigation into the international development assistance activities of the U.N. and its specialized agencies (see Chapter IV). The Bureau also was contacted on October 2, 1970 with regard to U. N. evaluation of U.S. administration and development of the Trust Territory of the Pacific Islands. [Ref. 25]

b. Phase III

On November 22, 1971, the Office of International Economic and Social Affairs was visited. A representative showed the RTI investigator a list of questions which USAID and/or State Department missions abroad are asked to answer regarding United Nations Development Programme (UNDP) projects in their countries. These evaluations are unofficial and vary in depth from country to country, apparently depending primarily upon the nationality of the UNDP representative. The list of questions was *for official use only* and although the RTI representative could not take notes on the list, certain elements included whether or not the project fits into the overall host country development plan and how effective the UNDP resident representative is in his efforts. The U.S. supplied 34 percent of UNDP funds in fiscal 1971.[Ref. 26]

D. Department of the Interior

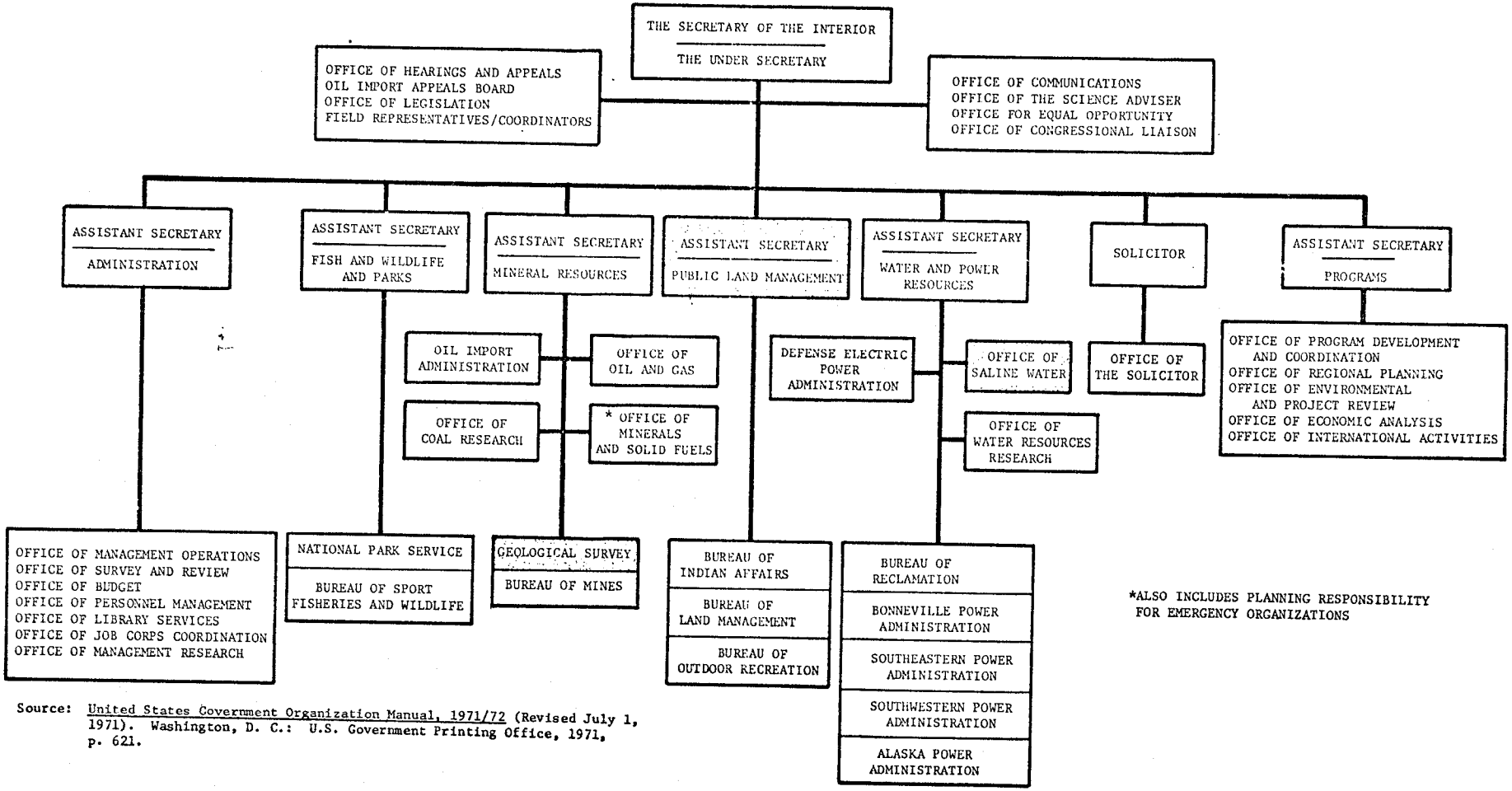
1. Background and Methodology

During September-October 1970 (Phase I of this research effort), the Department of Program Planning and Evaluation in the Office of

Territories of DOI was visited regarding U.S. development activities in TTPI. RTI analysts were supplied with background information dealing with TTPI and referred to other source material, including U.N. evaluations of U.S. administration of the Trust Territory [Ref. 25], which, as indicated in the preceding section, was obtained from BIOA in the State Department. The information supplied by the Office of Territories in DOI and BIOA in the State Department was reviewed along with additional materials unearthed in the Phase I literature search, as outlined in Chapter I.

During Phase III of this research, an effort was made to refine data collected on TTPI during Phase I and to perhaps collect additional data where deficiencies existed. Toward this end, communication was established with the Office of the Assistant Secretary for Public Land Management to which the responsibilities of the Office of Territories were reassigned effective July 1, 1971.[Ref. 10, p. 214] In addition, communication was established with the Department of Public Affairs of TTPI, and on September 23, 1971, a meeting was held with Edward E. Johnston, High Commissioner of the Trust Territory, in Washington, D.C. Unfortunately, these attempts to collect additional data on the development activities in the Trust Territory were not particularly effective or productive, although some information was obtained which complements and/or supplements that collected during Phase I. These additional data on development activities in TTPI are integrated into the Phase I findings and presented in the following section.

During a meeting with Kenneth Levick of A.I.D.'s Bureau for Technical Assistance, reference was made to international development assistance activities supported by DOI other than in Micronesia. [Ref. 13] Further investigation revealed that certain types of international development assistance projects are conducted by DOI's Geological Survey and Office of Saline Water (OSW). Communication was established with these two agencies, but information was obtained only from OSW. Pertinent operations of OSW are discussed in a subsequent section.



Source: United States Government Organization Manual, 1971/72 (Revised July 1, 1971). Washington, D. C.: U.S. Government Printing Office, 1971, p. 621.

Fig. 25. Organization Chart, Department of the Interior, July 1971.

DOI also is involved in international development assistance activities under contract to A.I.D., but those operations will not be considered here.

Figure 25 outlines the organization of DOI, showing the positions of the aforementioned Assistant Secretary for Public Land Management, OSW, and the Geological Survey.

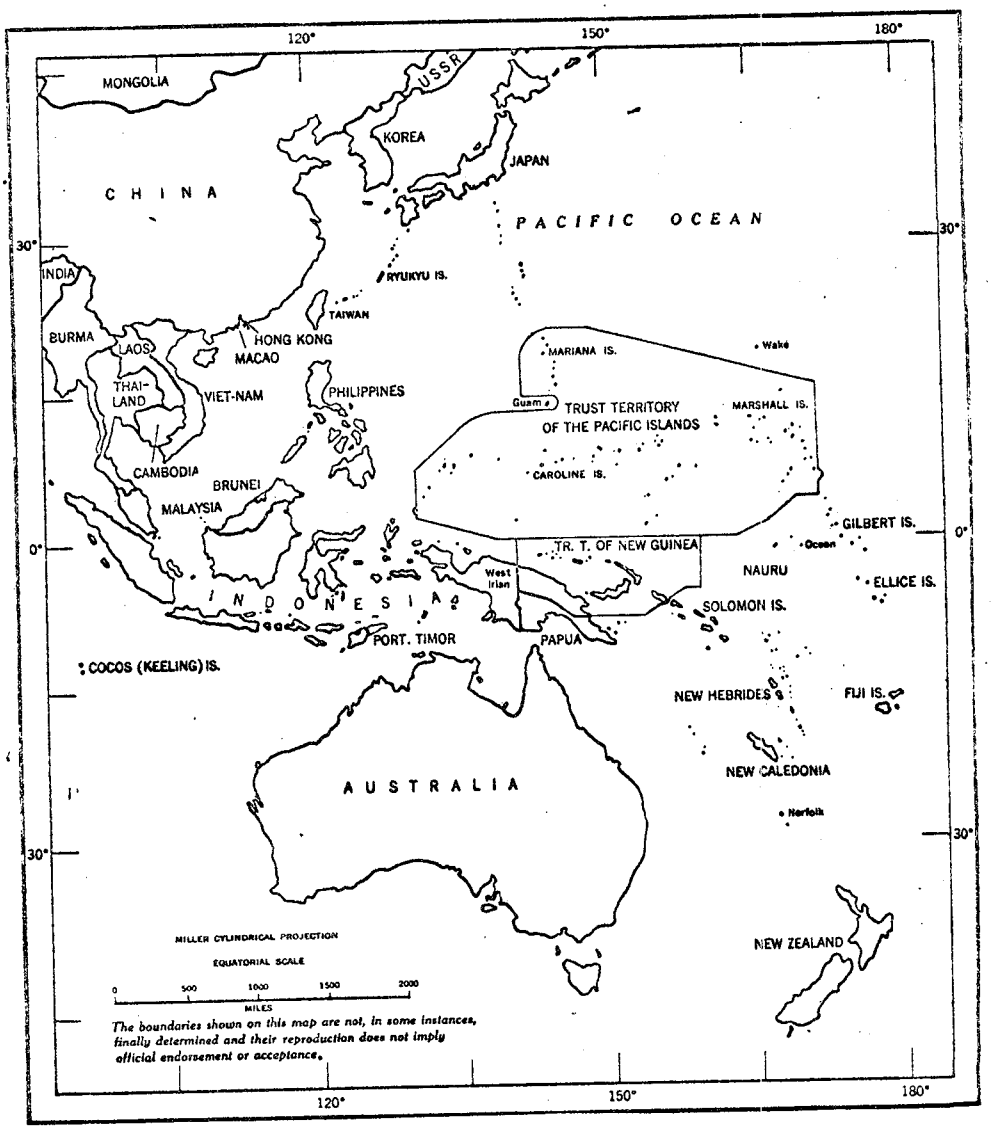
2. Trust Territory of the Pacific Islands

In 1947, Micronesia, consisting of the Marshall, Caroline, and Mariana Islands excluding Guam, as shown in Figure 26, became a U.N. Trusteeship, administered by the U.S. DOI. The responsibility of the U.S. in this Trust Territory is to create maximum economic self-sufficiency, educational and medical care systems, and an organized and functional government, and *to have this done to the fullest possible extent by the Micronesians themselves.*[Ref. 27] The general and specific objectives of the U.S. in achieving this goal, and the doctrine on which this action is based, have been clearly outlined, and U.S. achievements evaluated by the U.N.

In TTPI, the U.S. has been vested by the U.N. with responsibility for the administration and development of the islands which comprise the Trust Territory (Figure 26). In fulfilling this obligation, the U.S. has developed well-defined and well-documented objectives based on the overall goals of the U.N.

In working toward its development goals, the administration of the Trust Territory has engaged in a full range of political, economic, social and educational activities in the areas of government, education, health and medical services, commerce and industrial development, transportation and communications, agriculture, labor, public works (water, sewerage, and power), law, property and supplies, research, resources, and community development.[Refs. 27-29] In this context, *the task of community development includes providing technical advice for self-help activities and furnishing services calculated to advance the self-reliance and development potential of individual Micronesians.*[Ref. 29, p. 37]

The Phase I literature search provided lengthy and detailed statistics regarding these development accomplishments of the U.S. administration of the Trust Territory, but little specific information was



Source: Trust Territory of the Pacific Islands, 1970. Washington, D. C.: U.S. Government Printing Office, 1971.

Fig. 26. Map Showing Location and Boundaries of the Trust Territory of the Pacific Islands.

available regarding organization of staff, project organization, personnel selection, training methods and planning and operating techniques. The U.N. Trusteeship Council performed an evaluation of U.S. accomplishments in the administration and development of the Trust Territory [Ref. 25]; points most pertinent to this discussion are summarized below.

a. Doctrine

In TTPI, the U.S. is attempting to foster the whole range of federal, state and local, public and private services necessary for human dignity and to provide a base for self-supporting and self-determined progress.[Ref. 27]

b. Objectives

1) General

The mission of the U.S. in TTPI is twofold:

a) *To create maximum economic self-sufficiency, adequate transportation and supply systems, an educational system, a health and medical care system, and an organized and functional government in every branch and at every level; and*

b) *To have this done to the fullest possible extent by the Micronesians themselves, whose personal growth as individuals is now producing men and women to fill the complex social, economic, political, and technical roles of a modern society.*[Ref. 27]

2) Specific

The specific political, economic, social and educational objectives of the U.N. Trusteeship Agreement and the U.S. administration of TTPI [Ref. 27, pp. 88-90] are outlined below:

a) Political objectives

i) U.N. Trusteeship

- Promotion of appropriate development of self-government or independence.
- Increasing share in administrative services.

- Development of participation in government.
- Development of systems of law, giving due recognition to the customs of the Micronesians.

ii) U.S. DOI program

- Bring more Micronesians into high-ranking and responsible positions in the Trust Territory Government. Micronesians will be brought into the planning and decision processes as full and equal participants with American personnel. (Equal qualifications, equal pay, for equal work).
- Congress of Micronesia will participate more fully in the vital governmental process of budget development, with a budget committee which will make recommendations to the High Commissioner.
- Encourage much greater participation by Micronesians in the planning phases. Develop an improved judicial system which will give Micronesia a stronger voice in the administration of its judicial system.

b) Economic objectives

i) U.N. Trusteeship

- Regulate use of natural resources.
- Development of resources and industries.
- Protect Micronesians against loss of their lands and resources.
- Improve transportation and communication.

ii) U.S. DOI program

- Major progress will be made in the improvement of vitally needed public works facilities.

- Implement the master plan for the development of the various population centers throughout the Trust Territory so as to provide for orderly growth of these communities. (Special attention to conservation of land resources).
- Encourage investment of capital in every manner possible in order to develop the potential tourism, fishing, agriculture, import and export trade.
- Work with Micronesians to develop a system of laws and procedures which will provide protection for Micronesian land owners.

c) Social objectives

i) U.N. Trusteeship

- Protection of rights and fundamental freedoms without discrimination.
- Development of health services.
- Protection against social abuses.

ii) U.S. DOI program

- Propose legislation to give Micronesian products the same preferential, duty-free status now afforded products of American territories.
- Removal of existing travel barriers to facilitate Micronesian travel to the U.S. for education, employment and business purposes.
- Expand and upgrade facilities and personnel in the field of health.

d) Educational objectives

i) U.N. Trusteeship

- Establishment of a general system of elementary education.
- Vocational and cultural advancement.
- Higher education, including professional training.

ii) U.S. DOI program

- Expand and upgrade facilities and personnel in the field of education.
- Provide an increased supply of skilled Micronesian labor in various fields.

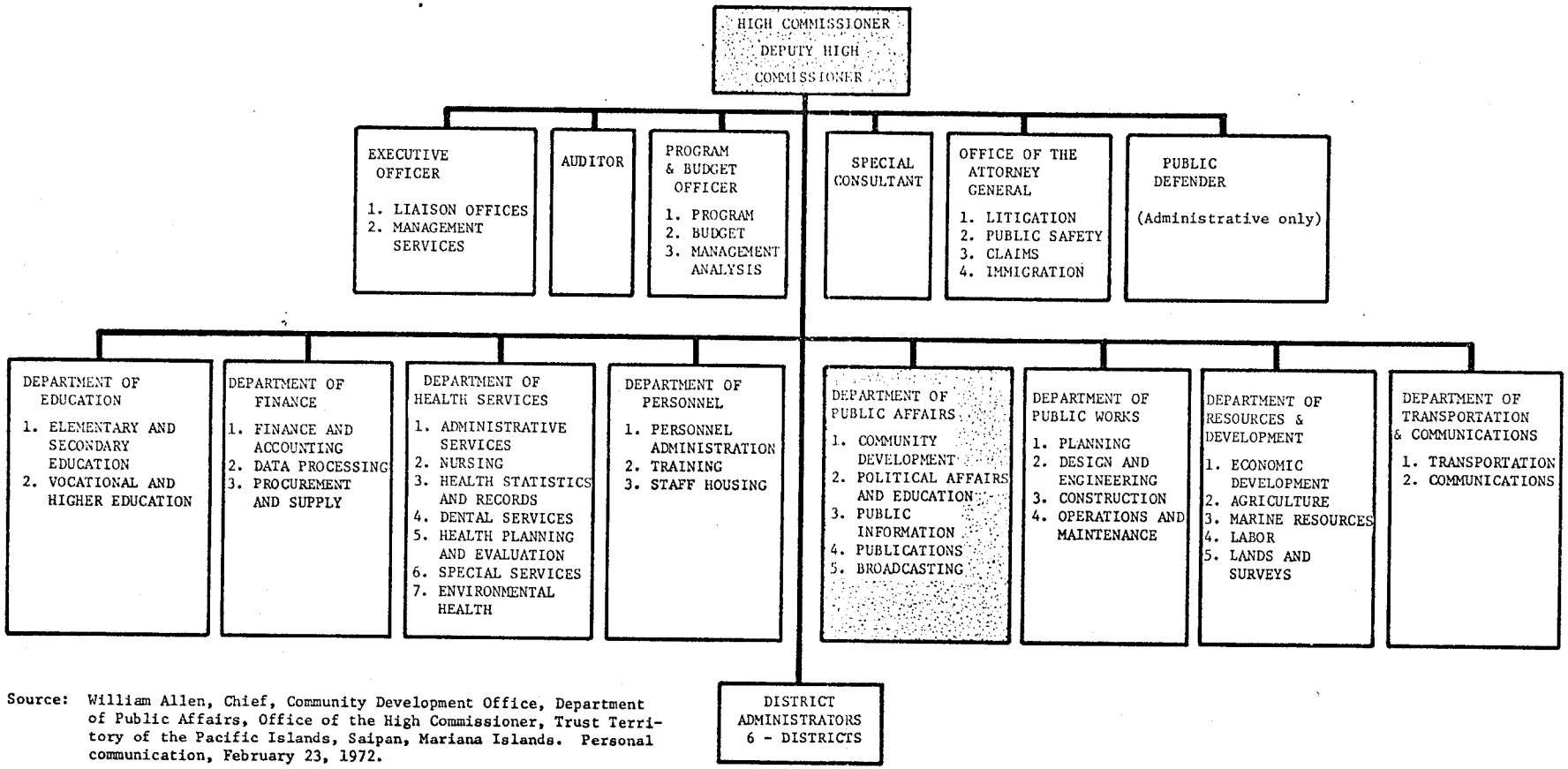
c. Organization

Figure 27 shows the organization of the executive branch of the government of the TTPI, noting the positions of the High Commissioner and the Community Development Office in the Department of Public Affairs, from whom information was obtained during Phase III.

With specific reference to the Community Development Office, William Allen, Chief of that Office explained *that a variety of government services that would in many developing countries be within the same department are, in the Trust Territory, spread among several departments. The Community Development program per se in the Trust Territory is confined to:*

1) *Direct grants-in-aid to communities (averaging $7,000) to build needed village public facilities.*
2) *Introduce and develop special federal grant programs such as those under the Office of Economic Opportunity; Department of Labor (NYC, Job Corps); Department of Health, Education and Welfare (Office on Aging); and the Department of Housing and Urban Development.*
3) *Low-Cost Housing Program.*
4) *Planning and Coordination of relief and rehabilitation to special island communities suffering from natural disaster (typhoon) or displacement.*
5) *Advisory assistance to women's and youth clubs.*

Also, rather than being an independent United States agency serving under contract to a foreign country, our office is an integral part of the Trust Territory Government which is funded almost totally by grants from the U.S. Congress through the Department of Interior. [Ref. 30]



Source: William Allen, Chief, Community Development Office, Department of Public Affairs, Office of the High Commissioner, Trust Territory of the Pacific Islands, Saipan, Mariana Islands. Personal communication, February 23, 1972.

Fig. 27. Organization of the Executive Branch, Trust Territory of the Pacific Islands, as of February 13, 1970.

d. Personnel Policies

Apparently the administration has given the indigenous population every opportunity for advancement. By way of example: *Micronesians who qualify are offered first opportunity for Government positions.* [Ref. 28, p. 23] Edward E. Johnston, High Commissioner of the Trust Territory, stated that the Micronesians who move up into positions in the Trust Territory government are obtained through advertisement, then interviewed and selected. Mr. Johnston stated that the Trust Territory must hire Micronesians if possible, even in the private sector. Occasionally third country nationals are employed, but rarely. [Ref. 31]

e. Other Development Assistance Activities

In Fiscal Year 1969, some 500 Peace Corps volunteers were working on projects in the Trust Territory of the Pacific Islands in areas including education, agriculture, health and business. In the summer of 1972, there were 300 Peace Corps volunteers in the Trust Territory, one-half teaching English as a second language (TESL) and training Micronesian teachers. [Ref. 31]

DOD has several civic action programs active in the Trust Territory, including five Seabee units, one Army unit and one Air Force unit, that have been active in TTPI since 1969 and are involved primarily in construction. These construction crews train Micronesians who then become masons or mechanics. [Ref. 31] Mr. Johnston spoke highly of both the Peace Corps and military activities.

f. Evaluation

1) Methods of Appraisal

A Visiting Mission of four members of the U.N. Trusteeship Council evaluated U.S. accomplishments in the administration and development of TTPI by visiting the Trust Territory and meeting with U.S. officials, Micronesians and their representatives, Peace Corps volunteers, and Micronesian students in Hawaii and Guam. [Ref. 25]

2) Project Effectiveness Criteria

The effectiveness of U.S. achievements in the Trust Territory were evaluated with regard primarily to the objectives summarized in a preceding section.

3) Evaluation of U.S. Administration and Development of TTPI

a) Economic Advancement

The Visiting Mission did not see signs of significant progress in the economy of the Territory as a whole. In particular, the basic infrastructure is still in a lamentable state, agriculture is stagnant and seems to be threatened by the movement of population to the towns, the adverse trade balance is increasing, and, apparently, some pressure is beginning to be felt on prices. However, the Mission noticed some encouraging features which it would like to interpret as the first signs of a more favorable development: first, some sectors of the economy have developed rapidly in recent years (tourism, air transport), and more effort is now being made in the promising fisheries sector. Secondly, the Administering Authority has shown its willingness to increase its financial assistance considerably, to devote a larger part of it to economic development, and to ensure its continuation by means of medium-term planning. [Ref. 25, pp. 70-71]

b) Educational Advancement

While in some sectors in education there has been very significant advancement in recent years, in others it has been less marked. The big increases in expenditure on education by the administration have made possible the continued progress in the education sector. The educational system in Micronesia has been too closely modelled on the public education system of the administering authority though the standards of instruction, equipment and comprehension of English are inevitably lower. The Mission, like its 1967 predecessor, does not believe that this system can provide a fully satisfactory preparation for life in Micronesia. In its present form, it seems to be directed to the preparation for pupils for work, e.g., in offices, which may very well not exist. It also tends to alienate many of them for more traditional callings and ways of life. For most students in the territory, completion of high school marks the end of formal education.

> *The mission encountered a general desire in many parts of the Trust Territory that the traditional ways of Micronesian life, so highly valued by the people of the islands, should not be overwhelmed by contact with another way of life, nor by acquisition by the younger generations of Micronesians of those skills which are needed in the modern world.* [Ref. 25, pp. 103-104]

3. Office of Saline Water

According to information received from OSW, the activities of that agency are restricted by Congress to the United States and all of the agency's staff numbering some 140 engineers, scientists, etc. are either in Washington or at test facilities in the United States [Ref. 32].

Nevertheless, OSW has provided some levels of supervision and technology to special types of international development assistance efforts. For example, a desalinisation *project was undertaken by an agreement signed by the governments of Saudi Arabia and the United States in November 1965. It called for the Office of Saline Water to act as agent in the negotiation of contracts for the design and construction of the plant with funds provided by Saudi Arabia. As part of the international agreement, OSW provided the basic design for the desalting plant. Because of its flexibility, the Universal Design developed for OSW by Burns & Roe, Inc., Oradell, N.J., was selected by OSW and approved by Prince Mohamed for use in the Jidda plant. Under a separate contract with Saudi Arabia, with OSW acting as contracting officer and agent, Burns and Roe performed all the architect and engineering work, including the adaptation of the Universal Design to Jidda conditions; preparation of the bidding documents, drawings and specifications, and supervision of construction and start-up operations. The Universal Design, developed by Interior's Office of Saline Water, is intended to provide a system of specifying an essentially optimum plant for a wide variety of economic and site conditions. The design incorporates the latest technology which is represented by two alternative sets of specifications--those based entirely upon performance and those based entirely upon a combination of reference design and performance specifications. HRH Prince Mohamed has expressed confidence in the Universal Design*

and it is anticipated that the future plants now under consideration at Jidda will also employ that concept. [Ref. 33]

E. Inter-American Social Development Institute

In the course of RTI's quest for data and information relating to methods and techniques employed in international development assistance by civilian agencies, reference was made by several Government and nongovernment organizations to the recently created ISDI (now the Inter-American Foundation). Therefore, the offices of ISDI in Rosslyn, Virginia were visited on September 23, 1971.

ISDI *is a non-profit government corporation,* a quasi-government agency *set up to support indigenous private and semi-autonomous institutions and organizations of Latin America and the Caribbean engaged in promoting and achieving enlightened social objectives for their people. It is dedicated to man as the focal point, actor and beneficiary of development. It will respond to needs perceived by the people of Latin America and the Caribbean as evidenced by their actions and will join with them to increase their capability to achieve their goals as well as their knowledge about the process of social change and the experiences of others similarly engaged throughout the world.* [Refs. 34,35]

> *The Institute is a new and unique initiative. It grows out of the conviction by the United States that there is a commonality of human problems in the Western Hemisphere and that new initiatives are needed in the 1970's to achieve the social and human goals of the Alliance for Progress agreed upon by the American Republics in the 1961 Charter of Punta del Este. The Institute is empowered "to support development activities designed to achieve conditions in the Western Hemisphere under which the dignity and worth of each individual person will be respected and under which all men will be afforded the opportunity to develop their potential, to seek through gainful and productive work the fulfillment of their aspirations for a better life, and to live in justice and peace."* [Ref. 35]

> *The Institute has been initially endowed with $50,000,000 which remains available to it until expended on grants, contracts and/or loans for approved projects. The corporation is also empowered to receive and utilize contributions and resources from non-governmental sources in support of social and civic development in Latin America and the Caribbean.* [Ref. 35]

> *The Institute carries out the purposes set forth primarily through and with private organizations by undertaking or sponsoring appropriate research and by planning, initiating, assisting,*

financing, administering, and executing programs and projects designed to promote the achievement of such purposes. [Ref. 10, p. 460]

The Institute, to the maximum extent possible, coordinates its undertakings with the developmental activities in the Western Hemisphere of the various organs of the Organization of American States, the United States Government, international organizations, and other entities engaged in promoting social and economic development of Latin America. [Ref. 10, p. 461]

A seven-man Board of Directors appointed by the President and confirmed by the Senate governs the Institute. Four of the Board members are from the private sector and three from federal government agencies concerned with inter-American affairs. [Ref. 35] *The Inter-American Social Development Institute was created as a government corporation by act of December 30, 1969 (83 Stat. 821; 22 U.S.C. 290f)* [Ref. 10, p. 460], *opened its door* on March 17, 1971. [Ref. 35]

The Institute plans for a small core staff, none of whom will be permanently stationed in Latin America and the Caribbean. This staff will be supplemented by Latin American, Caribbean and United States subject matter experts who, as consultants, will advise the Institute on programming and evaluating activities which it supports. [Ref. 35] The staff is not to exceed 100 persons and on September 23, 1971, numbered 55. [Refs. 34; 10, p. 460]

The Institute will operate much in the manner of a private foundation. It will provide grants, loans and other support for experimental projects and new approaches for contributing to and achieving social change within the framework of a country's cultural patterns and traditions. In identifying projects, preference will be given to those which are initiated and sponsored by capable and dedicated Latin American and Caribbean private, non-profit organizations and institutions. For Institute support, projects must contribute to social development by effectively solving real problems related to: (1) securing greater and more equitable distribution of income, goods and services; (2) expending the opportunity for people to participate in the decisions and processes which affect their lives; and (3) ameliorating the conflicts which invariably accompany basic change. [Ref. 35] They plan to support both pilot and demonstration projects. [Ref. 34]

The Institute comprehends the complexity and difficulty of social development, that hard work and careful study--not magic or utopian formulas--are required to find appropriate solutions to each country's problems within the framework of its own culture and traditions, and that development becomes

progress only when it satisfies human needs and wants, broadens individual horizons and expands potential for human growth. The Institute recognizes that development actually exchanges one set of human problems for another and that progress involves not merely diverse economic, social, political, technological and cultural components but also the motivation, self-organization and involvement of the people.

The Institute is committed to being responsive to the goals of Latin American and Caribbean peoples and, through a mature partnership, to enable them better to meet the social problems confronting them. The staffing plan was designed to effect this purpose; and, from its inception, it has sought and continues to seek a sustained in-depth dialogue with Latin American and Caribbean leaders and technicians on grass-roots development. [Ref. 35]

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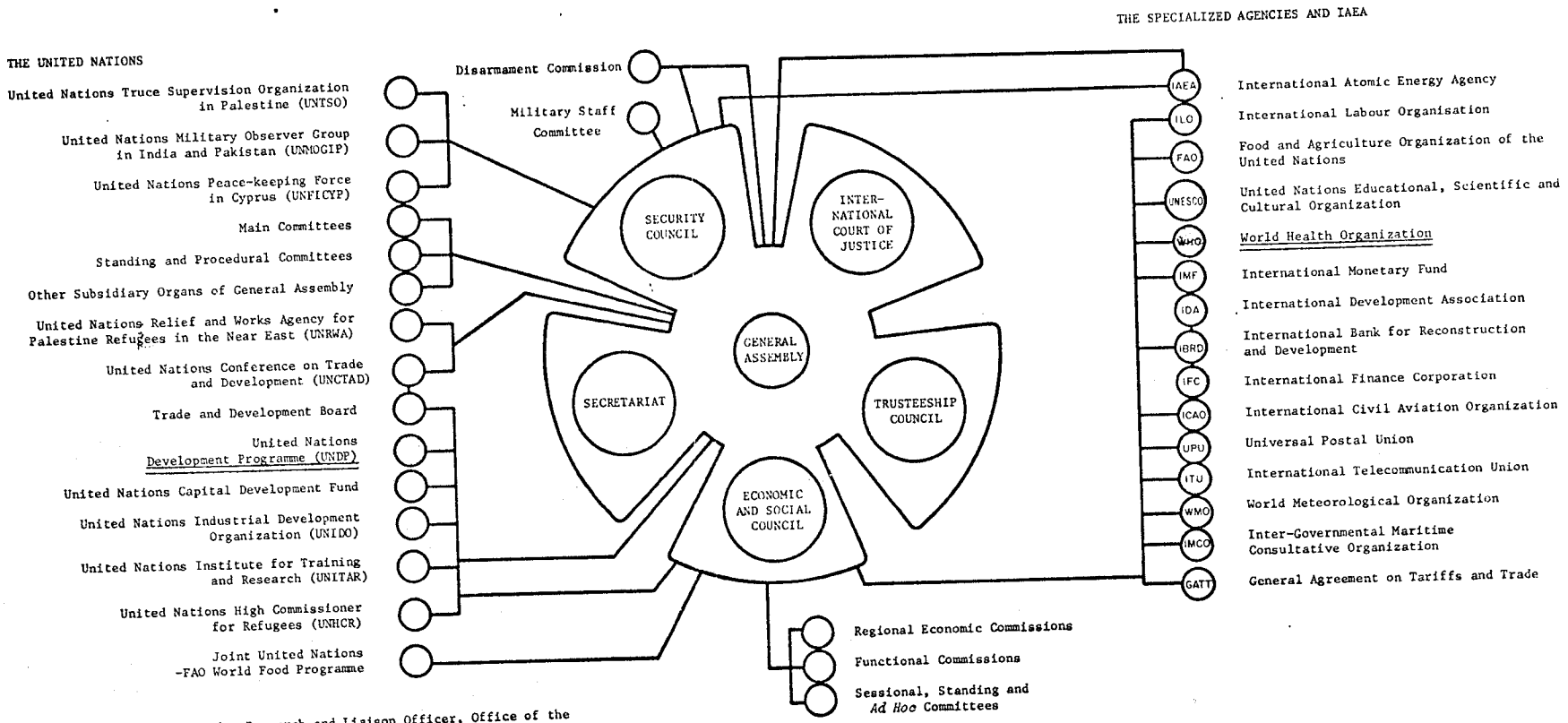


Source: Roger F. Guarda, Research and Liaison Officer, Office of the Administrator, United Nations Development Programme, New York. Personal communication, November 17, 1971.

Fig. 28. Organization Chart, The United Nations System, July 1969.

IV. EVALUATION OF TECHNIQUES EMPLOYED IN INTERNATIONAL DEVELOPMENT ASSISTANCE BY ELEMENTS OF THE UNITED NATIONS SYSTEM

A. Introduction

During Phase I of this research effort, a perfunctory review was performed of the historical and philosophical development of UNDP and certain aspects of the UNDP programming and project appraisal/evaluation process.

During Phase III of this research effort, the RTI research team attempted to obtain somewhat more definitive information regarding more specific aspects of the international development assistance activities of the UNDP and the U.N. specialized agencies.

B. Methodology

At the suggestion of William M. Kerrigan in BIOA in the U.S. Department of State (see Chapter III and Figure 23), communication was established with the U.S. Mission to the U.N. in New York (Figure 23). On November 17, 1971, a meeting was held with Harry Lennon in the U.S. Mission to the U.N. in New York. Mr. Lennon's office arranged meetings that day with representatives of the UNDP and the World Health Organization (WHO) within the U.N. system, the organization of which is outlined in Figure 28; the positions of the UNDP and WHO within the system are accentuated.

Within the UNDP Headquarters and Secretariat, visits were made on November 17, 1971 to the following offices:

Office of the Administrator, Headquarters and Secretariat

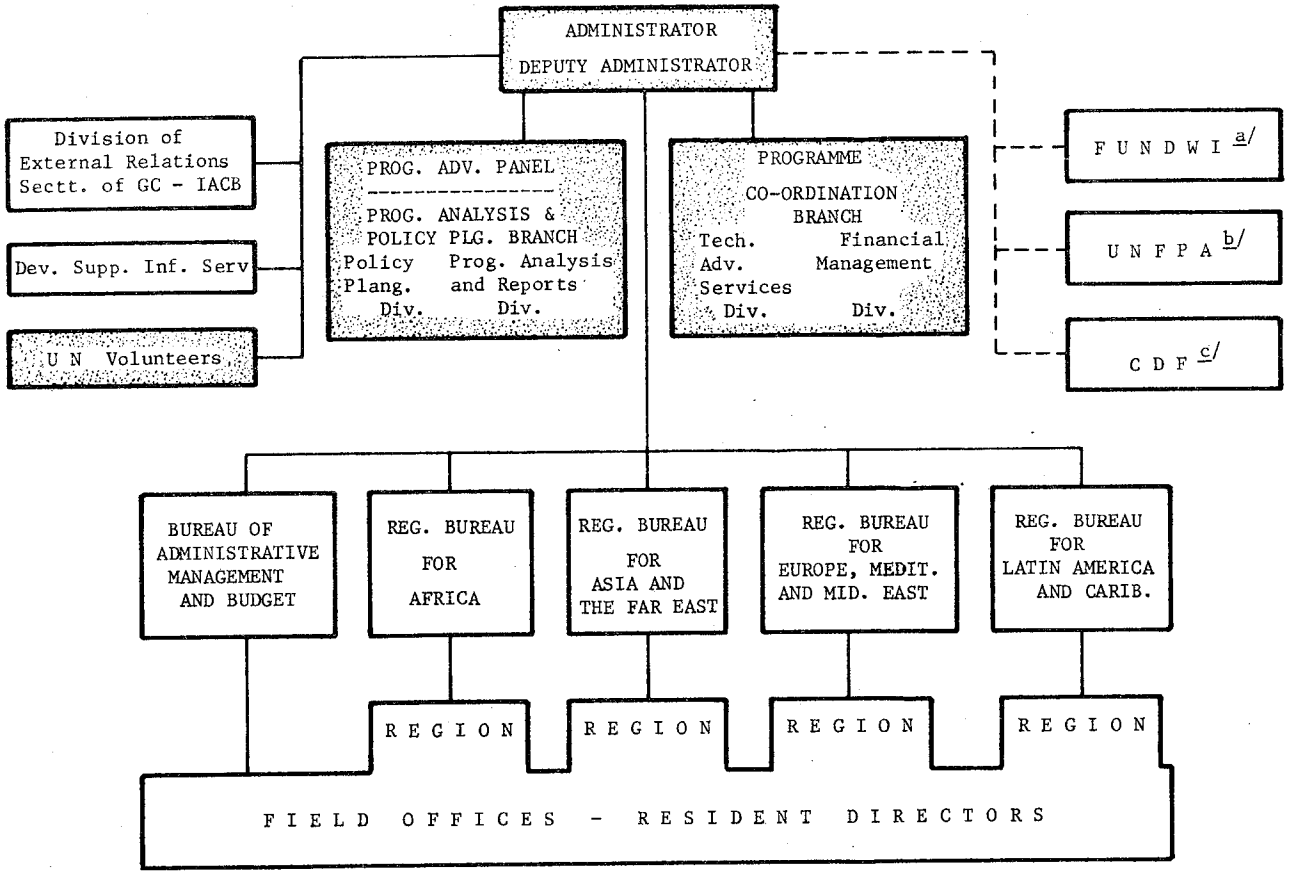
Personnel Division, Secretariat

Bureau for Programme Co-ordination, Headquarters

Program Analysis and Policy Planning Branch, Headquarters

The positions of these offices within the organizational structure of the UNDP are shown in Figures 29 and 30, which outline respectively the organizations of the UNDP Headquarters and Secretariat.

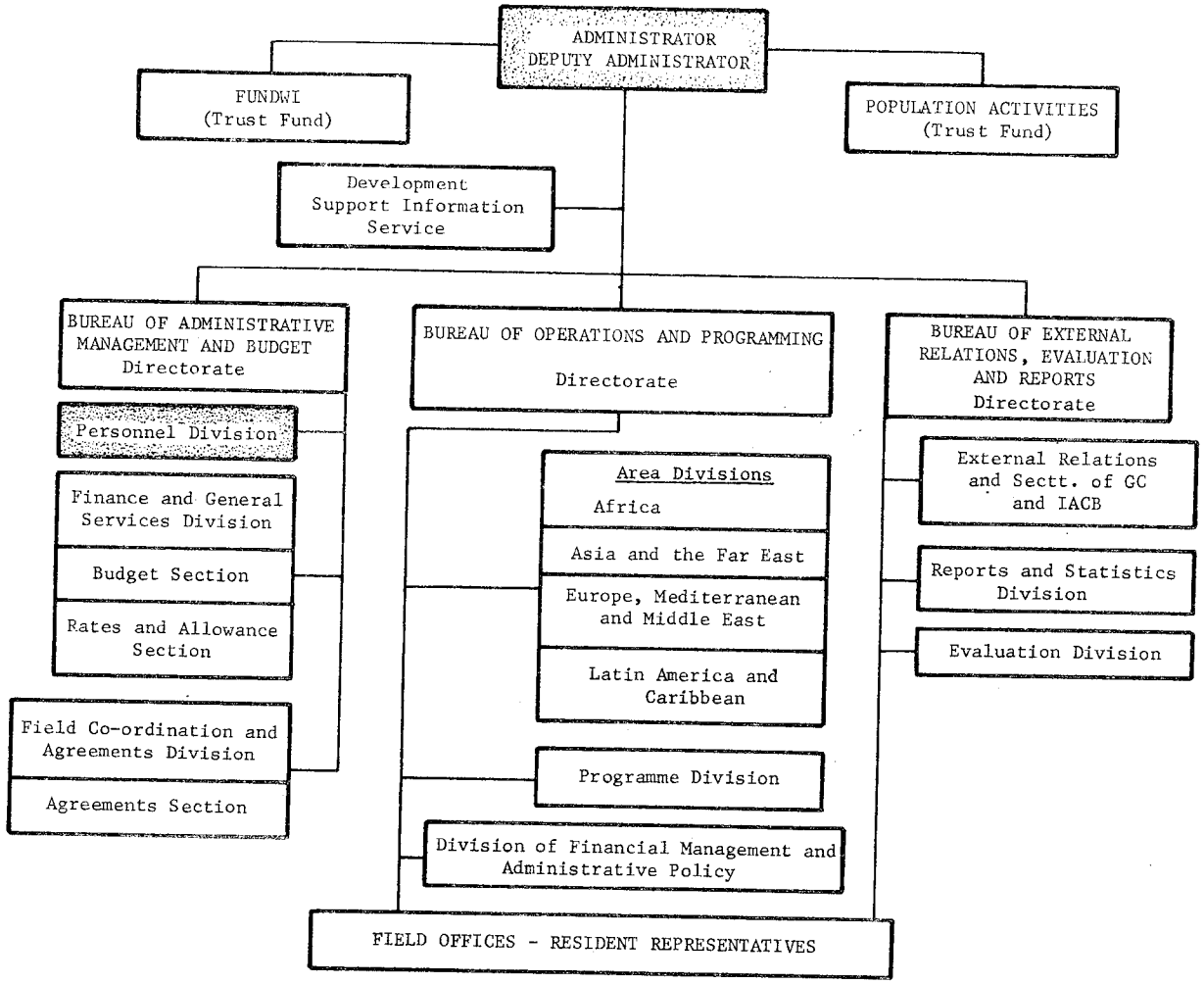
Due to the immediacy of these appointments and the functional and physical separation of the various offices, the questionnaire in Appendix C



a/ Fund of the UN for the Development of West Irian.
b/ UN Fund for Population Activities.
c/ Capital Development Fund.

Source: Roger F. Guarda, Research and Liaison Officer, Office of the Administrator, United Nations Development Programme, New York. Personal communication, November 17, 1971.

Fig. 29. Organization Chart, United Nations Development Programme Headquarters, Proposed--1971.



Source: Roger F. Guarda, Research and Liaison Officer, Office of the Administrator, United Nations Development Programme, New York. Personal communication, November 17, 1971.

Fig. 30. Organization of United Nations Development Programme Secretariat, 1970.

was not applied directly but appropriate questions from the questionnaire were asked of appropriate UNDP and WHO representatives.

In addition, a telephone conversation was held with Mrs. Jeannette Shiffer of the Pan American Health Organization (PAHO) in Washington, D.C. on November 12, 1971.

Again, due to time and money limitations, only the more concise data obtained from the UNDP, WHO, and PAHO is presented here, along with pertinent segments of the Phase I findings. Supplemental literature provided by these agencies within the U.N. System was not reviewed.

C. United States Mission to the United Nations

In an informal discussion regarding international development assistance with Harry Lennon of the U.S. Mission to the U.N., Mr. Lennon felt that the minimum term for a development assistance project was five years and that evaluation of such projects is generally subjective and biased.[Ref. 1]

D. United Nations Development Programme

1. General Remarks

The UNDP is primarily a funding organization and rarely executes projects on its own or goes outside the participating and executing agencies of the United Nations. Occasionally, the UNDP entertains international bids through the member governments. The primary purpose of the UNDP is technical assistance coordination of the current 19 country programs. The UNDP receives funds from member states which account for some 17 percent of its total budget.[Ref. 2] The requirements for the recipient government have been strengthened, the recipient being required to provide 15 percent of the foreign expert cost in cash. Consideration also is given to the degree to which the aid-recipient government is willing to take steps to insure the proper climate for success of U.N.-supported projects.[Ref. 3]

In the UNDP there are clear lines of communication between the headquarters organization of UNDP, the U.N. executing agency (usually a Specialized Agency--see Figure 28), and the U.N. Resident Representative in the aid-receiving country (see Figure 30). Because there

is no country target used by UNDP (in distinct contrast with USAID programs), the U.N. Resident Representative can influence the recipient country's absorptive capacity or willingeness to support requested and selected projects.[Ref. 3] The overall *development* of a country is determined by its gross national product per capita, with $1,000 per capita being the dividing line between developed and developing or underdeveloped countries.[Ref. 2]

The UNDP has regional offices for Africa, Latin America, the Mediterranean and the Middle East, Europe, and the Far East and Asia (see Figures 29 and 30). [Ref. 2]

2. Planning Policies

Prime consideration by the UNDP in determining whether or not it will support a project or program is its feasibility, potential results, priorities of the host government, technical requirements, and the country program--does it hold together?[Ref. 2]

When a UNDP project is prepared in the field it must be submitted by the U.N. Resident Representative to the headquarters organization of UNDP, specifically to the UNDP Administrator. After appropriate review by technical experts functioning subordinate to the UNDP Administrator, the project then is routed for approval and earmarking of funds to support the project.[Ref. 3]

The U.N. programming system is highly complex like the A.I.D. programming system. However, the UNDP has managed to stay basically on the side of the recipient. The UNDP has had sufficient impact to assure the emergence of project selection criteria at national, state, municipal and even village levels within the less developed countries. U.N. officials generally acknowledge that the caliber of recipient-country individuals with whom they must deal has steadily improved as the aid-recipient nation becomes more familiar with the U. N. programming and project selection process. The UNDP, for all the complexity of the program/project process, has put healthy pressures on the developing nations to grow, invent, adapt, and combine ideas best suited to their particular needs.[Ref. 3]

High among the considerations for support of a program or project are: (a) the UNDP will not supply arms or security (the

UNDP representative indicated that this is the purpose of USAID); (b) no capital investment; (c) pilot projects do receive support; and (d) a project's relevance to the host government's development effort--the government identifies needs. There is no main theme or concentration, but UNDP tries to implement an overall plan to use local resources. The UNDP also supports demonstration projects in agriculture and tries to pinpoint needed features. A prime recommendation for development projects is advance planning to improve capacities for design and delivery. The aim of the UNDP is coordination and cooperation; currently there is competition between agencies and countries for good projects. The UNDP is trying to introduce healthy competition.[Ref. 4]

The primary problems involved in UNDP projects have been: (a) projects are poorly conceived and designed; (b) shortcomings in the specialized agencies' capacity to fulfill their responsibilities (incentive, recruitment of experts, ordering of equipment)--the specialized agencies are cumbersome but aware of their problems, most of which could be avoided by advance planning; and (c) government problems in supplying backing and resources. In the past experience of the UNDP, adult literacy, surface water irrigation, and food processing projects have not been successful.[Ref. 4]

3. Personnel Policies

The UNDP receives approximately 250 applications per week. Most of their personnel come from government bilateral programs or from within the UN; there is not active recruiting except for specialized posts. The UNDP currently has a staff of 1200 people of whom 65 percent are overseas in 92 countries. Sixty-five to seventy are Americans out of a total professional corps of 235.[Ref. 5]

Primary among considerations in selecting personnel are: (a) education, with preference being a major in Political Science and/or Business Administration; (b) outside experience; and (c) a second language, if possible.[Ref. 5]

The UNDP maintains no training program of its own although it does use the training program of the specialized agencies and the staff college of the University of Sussex. There is a U.N. training program under consideration.[Ref. 5]

As shown in Figure 29, the U.N. does maintain a staff of volunteers, some of whom are trained by Volunteers in International Development (VID) (see Chapter II).[Ref. 6] *On July 31, 1969, the United Nations Economic and Social Council (ECOSOC)* (see Figure 28) invited *the Secretary-General, in cooperation with the Administrator of the United Nations Development Programme and in consultation with the heads of those other organizations of the United Nations system particularly concerned with volunteers and with the further assistance of such expert consultants as he may deem necessary, to study the constitutional, administrative and various financial arrangements mentioned in his note for the creation of an international corps of volunteers and to submit his report and recommendations to the Council at its forty-ninth session through the Governing Council of the United Nations Development Programme,* and *recommends that in his study the Secretary-General should take account of the following general principles:*

a) a volunteer should be a person who gives his services without regard to financial benefit and with the purpose of contributing to the development of a recipient country;

b) a volunteer scheme should consist of persons recruited on as wide a geographical basis as possible;

c) where possible the composition of teams should be on a multinational basis;

d) no volunteer shall be sent to a country without the explicit request or approval of the receiving country. [Ref. 7]

Staff and volunteers of IVS have also stressed internationalization of volunteer efforts.[Ref. 8]

4. Evaluation

The UNDP is involved mostly in preinvestment projects, where certain (unspecified) factors are used to measure effectiveness. The

project is a means to a larger end, and plans for follow-on are considered early in project development. UNDP evaluation is not quantitative but qualitative.[Ref. 9]

The UNDP project system assumes evaluation to be a constant thread running through the life of a project activity. Evaluation is inherent in the detailed formulation of projects, is vital to to the proper surveillance of projects under evaluation, and to the assessment and follow-up of a project's results once it has been completed [Ref. 10, p. 153]. The Jackson Report presents a flow-chart that proceeds through all ramifications of the Country Program Phase, to the Implementation Phase, to the Evaluation and Follow-Up Phase. In the Implementation Phase there is a requirement for periodic technical reports; and in the Evaluation Phase there is an assessment of project results with a feed-back mechanism to improve all preceding Phases [Ref. 10, pp. 276-278]. The Jackson Report was scanned by RTI researchers and appeared to contain material pertinent to evaluation of U.S.-sponsored programs and projects in underdeveloped areas of the world, with possible applicability to military civic action.[Ref. 3]

E. World Health Organization

WHO is an intergovernmental organization based on a regional system with six offices--the Americas, Europe, Africa, the Eastern Mediterranean, Southeast Asia, and the Western Pacific. The organization is governed by the secretariat which is responsible to an executive board which is in turn responsible to the World Health Assembly. WHO has a wide variety of membership.[Ref. 11]

Criteria for determining whether or not a project will be supported by WHO are health priorities, and whether or not the project is part of the health fabric locally; WHO acts only at the request of the host government. Actual implementation of a project is only at the recommendation of a regional commission. The importance of advance planning was stressed.[Ref. 11]

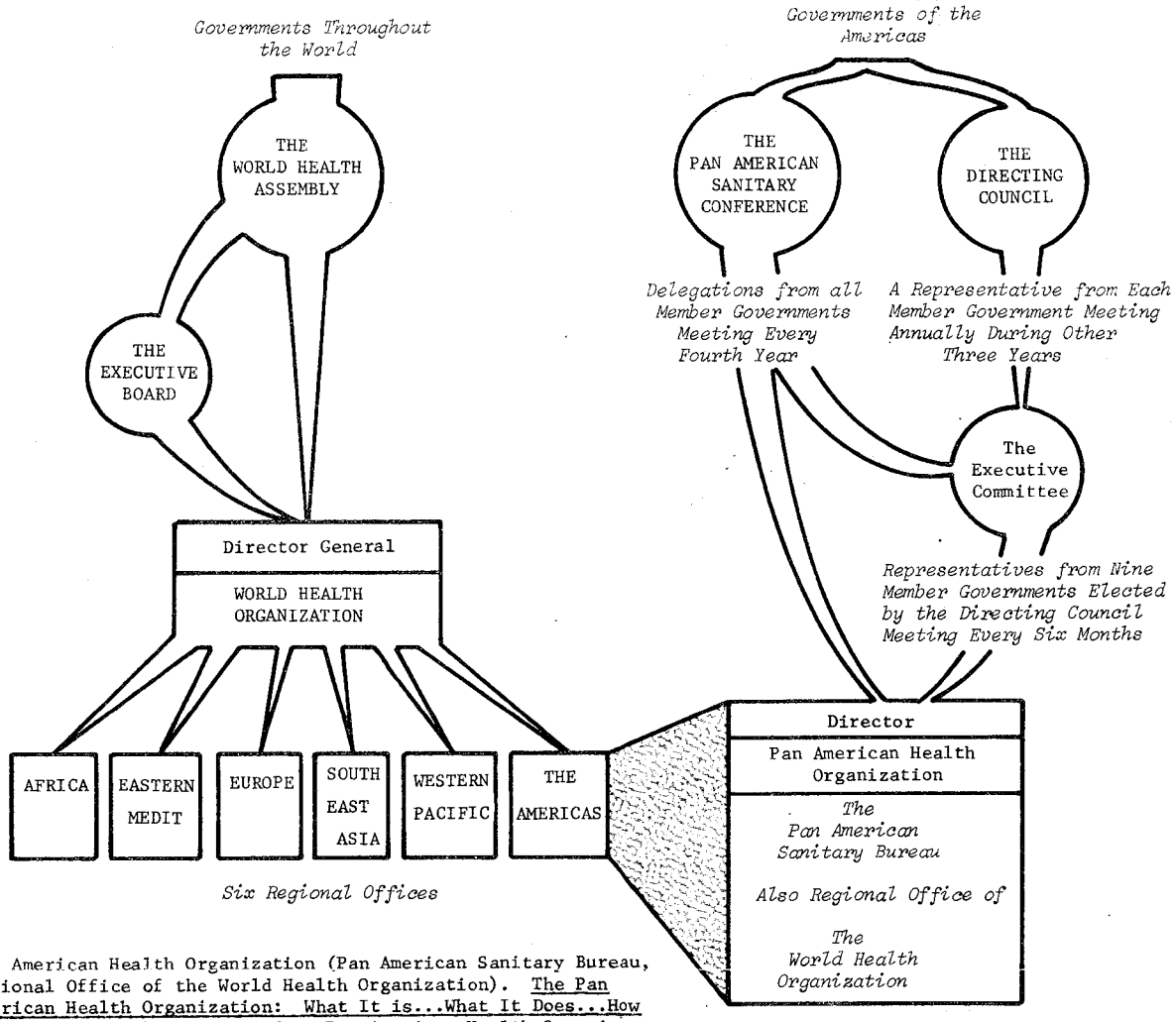
Most of the WHO personnel are obtained by word of mouth and selected on the basis of experience, although WHO does sometimes use consultants. Most WHO personnel are temporary; the average employment term with WHO is two to five years.[Ref. 11]

For WHO evaluation is a continuing process, with success being determined by whether or not the project is turned over to the host government. An evaluation system is built into every project based on constant reports, including quarterly reports from the project and an annual report by the regional director. WHO must remain aware of sensitivities.[Ref. 11]

F. Pan American Health Organization

PAHO is financed by contributions from the member countries. PAHO provides advice and technical assistance but lets no contracts and uses no volunteers. PAHO is people-oriented and enters a country only at the request of the host government. PAHO uses only part-time consultants of which they maintain a list and on rare occasions works through a private firm.[Ref. 12]

The general organization of WHO and the relationship of PAHO are shown in Figure 31.



Source: Pan American Health Organization (Pan American Sanitary Bureau, Regional Office of the World Health Organization). The Pan American Health Organization: What It is...What It Does...How It Works... Washington, D. C.: Pan American Health Organization, 1970 (?).

Fig. 31. Outline of the General Organizations of the World and Pan American Health Organizations and Their Interrelationship.

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V. SUMMARY AND CONCLUSIONS

A. Introduction

This Final Report presents a description and summary of work performed and accomplishments of RTI Project No. 51U-533 during the period April 1970 - September 1972 pursuant to ARPA Order No. 1444 and USAMICOM Contract No. DAAH01-70-C-0949.

The purposes of this research effort were (1) to study and evaluate methods and techniques employed by U.S. civilian agencies in international development assistance; (2) to compare civilian methods and techniques with similar aspects of military civic action (MCA); and (3) to formulate recommendations for direction of MCA based upon this analysis and comparison.

This research effort has been divided into three Phases. Phase I, which covered the period April-December 1970, involved a literature search into methods and techniques employed in international development assistance by 32 selected nongovernment organizations, and a perfunctory analysis of methods and techniques employed in international development assistance by A.I.D. and the Peace Corps in the U.S. Department of State, the Trust Territory of the Pacific Islands, and the UNDP, with input on MCA from RTI Project No. OU-532 which evaluated military techniques; Phase I was summarized in an interim unpublished *Phase I Special Technical Report*. RTI's Phase I findings and recommendations for further research were reviewed during Phase II in January 1971. Phase III has covered the period February 1971 - September 1972 and has involved further research into the methods and techniques employed in international development assistance by selected U.S. civilian agencies, a comparison of civilian and military techniques, and the formulation of recommendations for MCA.

This volume of this Final Report addresses itself to an examination, analysis, comparison and evaluation of methods and techniques employed in international development assistance by 34 selected nongovernment organizations; A.I.D., the Peace Corps, and BIOA in the Department of State; OSW and TTPI in DOI; ISDI; and the UNDP, with some input from WHO.

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Facets of international development assistance investigated include philosophy and objectives, organizational structure, and polices toward personnel, planning, operations and evaluation. The 34 NGO's in the study sample vary widely in organizational structure, major source of support and basic philosophy and objectives. In fact, one of these factors may determine the others, as the major source of support may determine the organizational structure and the basic philosophy and objectives and thereby the scope of activity. For example, all of the NGO's studied during Phase III indicated that contributions from the U.S. private sector were a major source of funds. In addition, however, 24 or some 71 percent of these 34 NGO's studied during Phase III indicated at least some measure of support from the U.S. Government. Furthermore, the U.S. supplied 34 percent of UNDP funds in fiscal 1971.[Ref. 1]

The activities of OSW are restricted by Congress to the U.S., so even though OSW has provided some levels of supervision and technology to special types of international development assistance efforts, OSW will not be discussed in this summary.

B. Philosophy

For the most part, the NGO's seem to have developed sound doctrines and philosophies upon which their general objectives and even specific programs are based. These basic beliefs, some of which are more concisely articulated and well-documented than others, seem to focus primarily on various qualities and elements which the organizations consider important in the development of emerging countries, such as education, nutrition, leadership and other professional training, efficient government, self-help, international cooperation and understanding.

The philosophy of Action emphasizes response *to local initiative and priorities* and *productive private-Federal cooperation*.[Ref. 2] The historical and legislative development of A.I.D. has been accompanied by *a realization that:*

1) *The security and prosperity of the United States are determined in no small measure by socio-politico-military events that transpire throughout the world;*

2) *The United States, as a matter of enlightened self-interest, should take the initiative to create conditions abroad which are conducive to the continuance of peaceful and mutually beneficial socio-politico-military relations through the world; and,*

3) *The preservation of basic freedoms must be sought as a cooperative effort by all freedom-seeking nations.* [Ref. 3]

In TTPI, the U.S. is attempting to foster the whole range of federal, state and local, public and private services necessary for human dignity and to provide a base for self-supporting and self-determined progress. [Ref. 4]

ISDI has grown *out of the conviction by the United States that there is a commonality of human problems in the Western Hemisphere and that new initiatives are needed in the 1970's to achieve the social and human goals of the Alliance for Progress agreed upon by the American Republics in the 1961 Charter of Punta del Este.* [Ref. 5]

C. Objectives

Most of the NGO's have relatively clear, concise, broad formulations of functional general objectives for their organizations which govern their activities, as well as generally well-formulated and well-documented objectives for specific programs and projects. These clearly defined and stated objectives (1) leave little doubt in the minds of their staff, contributors or recipients as to the purpose(s) of the organization; (2) provide a basis for direction and efficient operation; and (3) provide criteria for evaluation which can play an important role in fund-raising. Nonetheless, the broad, functional nature of these objectives permits some flexibility. All of the NGO's in the study sample have as their major purpose some form of, or role in, *international development assistance.*

The Reorganization Plan which created Action stated that *the Peace Corps' mission is to provide middle level manpower skills to developing nations and to promote increased understanding between the United States and other countries.* [Ref. 6]

The purpose of A.I.D. is to provide bilaterally organized economic and technical assistance in the field requested by the governments of *less developed countries.*

The responsibility of the U.S. in TTPI is to create maximum economic self-sufficiency, educational and medical care systems, and an organized and functional government, and *to have this done to the fullest possible extent by the Micronesians themselves.* [Ref. 4] Toward this end, the U.N. Trusteeship Council and the U.S. DOI have worked out a detailed system of political, economic, social and educational objectives.

ISDI was *set up to support indigenous private and semi-autonomous institutions and organizations of Latin America and the Caribbean engaged in promoting and achieving enlightened social objectives for their people. It will respond to needs perceived by the people of Latin America and the Caribbean as evidenced by their actions and will join with them to increase their capability to achieve their goals as well as their knowledge about the process of social change and the experiences of others similarly engaged throughout the world.* [Refs. 5,7]

The primary purpose of the UNDP is technical assistance coordination of country programs. [Ref. 8]

D. Organizational Structure

Of the NGO's included in this study, the oldest is the YMCA founded in 1889, and the youngest is CODEL, Inc., founded in 1969; the average founding year for the NGO's was 1945. By comparison, TTPI was created in 1947, A.I.D. and the Peace Corps in 1961, the UNDP in 1965-1966, and ISDI in 1969.

On the average, however, the NGO's involved in international development assistance do not support cumbersome bureaucratic organizations composed of large numbers of superfluous personnel, at least not to the extent practiced by their Government counterparts. For example, compare the organization chart of CARE (Figure 10), which operates a vast and multifaceted development assistance program requiring a comparatively complex organization and large staff, with organization charts of the Peace Corps (Figure 21), A.I.D. (Figure 25), TTPI (Figure 27), and the UNDP (Figures 29 and 30).

Most of the NGO's maintain a small staff with a relatively simple structure where channels of authority and responsibility are well-defined

(see Figures 7-9). Such an arrangement obviates a detailed formal organizational structure which could hinder communication and flexibility, important characteristics of the NGOs' international development assistance operations. Of 26 NGO's who provided relatively definite figures for the total number of permanent and temporary staff and volunteers, both at home and abroad, only nine (some 35 percent) indicated a staff exceeding 100 persons and eight (some 31 percent) indicated that their total staff numbered 50-100 persons; the remaining nine indicated a total staff of less than 30. By comparison, Peace Corps personnel in 1971 numbered 1,188 with an estimated 7,770 volunteers; and the UNDP currently has a staff of 1,200 people. ISDI, on the other hand, has a staff limit of 100; ISDI staff numbered 55 in September 1971.

There is some similarity in the organization of the field staff of IVS and the Peace Corps (see Figures 6 and 22). Eighteen of the NGO's indicated the maintenance of overseas staff; the Peace Corps and A.I.D. both maintain overseas staff, while 65 percent of the UNDP staff are overseas. ISDI, on the other hand, will have no permanent staff stationed in Latin America or the Caribbean.[Ref. 7] Sixteen of the NGO's in the study sample indicated the use of some type of volunteers or other temporary duty overseas personnel. Volunteers are also part of the operations of the Peace Corps and the U.N. (in fact, in the summer of 1972, there were some 300 Peace Corps volunteers in TTPI), although there is not uniform agreement on the term *volunteer* in terms of selection criteria, job description, or compensation.

Seventeen of the study sample NGO's indicated the presence of host country or third country nationals on their payroll; host country nationals are also hired by A.I.D. and must be hired by the TTPI administration, while the TTPI administration has also been known to employ third country nationals. Fourteen of the NGO's cited the utilization of outside consultants; such consultant services were also cited by ISDI, WHO and PAHO.

E. Personnel Policies

1. Recruitment

In acquiring new personnel, 11 of the NGO's indicated that they employ some combination of recruitment and referral while ten others rely primarily on active recruitment. A.I.D. and TTPI actively recruit personnel, while UNDP recruits only for specialized posts. WHO relies primarily on referral.

Table 32 summarizes information on sources of new personnel for those civilian agencies studied for whom such information was available. U.S. Government agencies, and the Peace Corps in particular, lead the categories as a source of personnel for NGO's involved in international development assistance; U.S. Government agencies were also cited by A.I.D. and the UNDP as sources of new personnel. Colleges and universities, applications on file, and general word-of-mouth were other leading sources of personnel for NGO's (see Table 12) which were also cited in varying combination by the Peace Corps, A.I.D., UNDP and WHO. Thirteen of the NGO's in the study sample indicated more than one source/method in acquiring new personnel; of the governmental agencies, only A.I.D. and UNDP cited more than one source/method employed in acquiring new personnel (see Table 32), but then they were also the most cooperative.

2. Selection

Table 33 presents the methods/procedures cited by the civilian agencies in this study as important parts of their personnel selection process. As might be expected, the *application* was the most often cited element with the interview and language testing second. The NGO's and the Peace Corps are more extensive and meticulous in their selection of personnel than are the other civilian agencies in the study. This should not be surprising in that the emphasis in the Peace Corps is on the volunteers and, as will be seen in subsequent sections, the NGO's cite personnel as the most important factor determining or influencing the success of a development assistance project. Thirteen of the study sample NGO's indicated the use of more than one of the procedures listed in Table 33.

The criteria applied by the civilian agencies in this study in their personnel selection process are presented in Table 34. The first column of Table 34 lists the apparent priority ratings of those personnel selection criteria which were cited by the NGO's. In general, there seems to be a trend away from the *B.A. generalist* who was preferred for work in international development assistance in the 1960's. The leading criteria in Table 34 are those which relate to

Table 32

SOURCES/METHODS OF PERSONNEL RECRUITED BY AND/OR REFERRED TO CIVILIAN AGENCIES INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Source of Referral or Recruitment	Civilian Agencies Indicating Use of Source/Method					
	NGO's	U.S. Government Agencies			United Nations System	
		Peace Corps	A.I.D.	TTPI	UNDP	WHO
U.S. Government Agencies	✓		✓		✓	
Peace Corps	✓		✓			
State Department/A.I.D.	✓					
VISTA	✓					
Universities	✓	✓	✓		✓	
Applications on File (Talent Bank)	✓		✓			
General *Word of Mouth*	✓					✓
Member Organizations	✓					
Professional Societies and Journals	✓		✓			
Previous Employees	✓					
General Advertisements	✓		✓	✓		
Other Nongovernment Organizations	✓					
TAICH*	✓					
VITA	✓					
State and Local Governments	✓					
Specific Personal Recommendation	✓					
Specific Church	✓					
Other Government Bilateral Programs					✓	
U.N.					✓	

*TAICH responds to letters from job seekers and refers the writers to sources of information and in some cases to agencies, particularly those that recruit volunteers such as IVS. Many people use the TAICH directories to get information about agencies and may then approach the agencies listed directly. The active TAICH role in referral is minimal and it does no recruitment for agencies at the present time. Résumés are kept on file for the use of agencies if they wish to see them. In actual fact they never do and only on the rarest occasions have any agencies or A.I.D. asked for specific help when recruiting. (Mary Ellen Burgess, Executive Secretary, TAICH, New York. Personal communication, December 21, 1972).

Table 33

PERSONNEL SELECTION PROCEDURES EMPLOYED BY CIVILIAN AGENCIES INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Personnel Selection Procedure	Civilian Agencies				
	NGO's	U.S. Government Agencies			U.N. System
		Peace Corps	A.I.D.	TTPI	UNDP
Application	✓	✓	✓		✓
Interview	✓	✓		✓	
References	✓	✓			
Language Testing	✓	✓	✓		
Background Research	✓				
Psychological Testing	✓				
Home Visit	✓				
Subjective Opinion	✓				
General Aptitude Testing		✓			
Questionnaire		✓			
Assessment During Training or Internship		✓	✓		
Peer Rating		✓			

Table 34

PERSONNEL SELECTION CRITERIA EMPLOYED BY CIVILIAN AGENCIES INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

	NGO's*	U.S. Government Agencies			U.N. System	
		Peace Corps	A.I.D.	TTPI	UNDP	WHO
Professional Experience	1	✓	✓		✓	✓
Adaptability	2	✓	✓			
International Experience	3	✓	✓		✓	✓
Job Competence	4	✓	✓			
References	4	✓	✓			
Education	6	✓	✓		✓	
Ability to Communicate	7	✓	✓			
Specific Slot Available	8		✓			
Basic Beliefs, General Attitudes	9	✓	✓			
Motivation	10		✓			
Degree	11	±	✓			
Ability to Withstand Cultural Shock	11	✓	✓			
Compatibility	13	✓				
Background Research	13					
U.S. Citizenship	13	✓				
Knowledge of Area	16	✓				
Language Aptitude or Proficiency	16	✓	✓		✓	
Catholic Faith	18					
Christian Faith	19					
Age	19	✓				
Dedication to Humanity	21	✓				
Humility	22					
Maturity	22					
Specific Individual Sought	22					
Family Attitude	25					
Multidisciplinary	26	✓				
Health and Stamina	27	✓				
Desire for Professional Advancement	28		✓			
Courage, Sense of Adventure	29					
Knowledge of Specific Techniques	30					
Intelligence (I.Q.?)		✓	✓			
Knowledge of U.S. Institutions		✓				
Ability to Lead or Follow		✓	✓			
Sensitivity		✓				
Sense of Mission		✓				
Marital Status		✓				
Availability		✓				
Military Service		✓				
Hobbies and Athletic Participation		✓				
Assignment Preference		✓				
Demands of Position to be Filled			✓			
Technical Specialty		✓	✓			
Experience Related to Position			✓			
Security Forms			✓			
Nationality				✓		

* Apparent priority from Table 17; decreasing importance with increasing number.

experience--professional, international and, where possible, related to the position. The other two most important personnel selection criteria would appear to be *education* and *language aptitude* or proficiency, while others of note are *adaptability, job competence, references, ability to communicate* and *ability to withstand cultural shock.*

3. Training

Two general types of training programs are conducted by civilian agencies involved in international development assistance. The one which will be discussed in this section involves the training of *project personnel employed by the NGO's* for work in international development assistance. The other type of program concerns the teaching or training of *host country nationals* for general education, to increase the host country's manpower in a specific field, or to train technicians to eventually assume control of, and responsibility for, the project or program. Most of the civilian agencies in this study are involved in both types of programs to varying degrees.

Training of civilian personnel for work in international development assistance may consist of *intramural* programs or *extramural* programs or programs which include both. Intramural programs are those which are conducted within the organization and/or facilities of the agency, while extramural programs are conducted outside the organization and facilities of the agency.

Some 73.5 percent of the NGO's in the study sample indicated the employment of some sort of *intramural* training program for personnel, especially those involved in international development assistance. Some 44 percent indicated the use of some *extramural* facility as part of their training program for personnel to work in international development assistance.

The Peace Corps maintains a thorough and intensive intramural training program with extramural elements. In general, the NGO's do not maintain such intensive programs as the emphasis placed on professional and international experience, job competence and education tends to obviate extensive training programs.

A.I.D. maintains an intramural training program, also with some extramural elements, even some others within the Department of State, as shown in Table 35, which summarizes methods and extramural facilities cited by the civilian agencies in this study in training personnel for international development assistance. The UNDP maintains no intramural training program, but does utilize other training facilities within the U.N. system and extramural elements.

As is evident and/or inferred in Table 35, most organizations employ more than one type of method and/or facility in some mix in their training programs. The training methods mentioned most often by the study sample NGO's as used in intramural training of personnel for work in international development assistance are, perhaps predictably, those which would most adequately complement education and experience, namely a general but short *orientation session*, *language training*, and *on-the-job training*. In addition, some 32 percent of the study sample NGO's maintain training centers in the host country area. Language training is a feature of both A.I.D. and Peace Corps training programs, while the Peace Corps conducts training in the host country and A.I.D. utilizes the concentrated orientation session.

One effective approach appears to be a combination of structured orientation followed by a period of on-the-job training followed by a final period of formal training, much like the general program of the Peace Corps. An important feature of several civilian training programs is study of the host country area. For example, the general purpose of the Peace Corps training program is twofold:

a) To provide the volunteer with information about, and an understanding of, the country to which he will be assigned, and a knowledge of its language; and

b) To provide the Peace Corps staff with an opportunity to determine the capacities of the volunteers to undertake specific assignments abroad.[Ref. 9]

The content of the Peace Corps training program seemed particularly noteworthy, as did the use of visual aids, special short courses, and in-service training by several of the NGO's.

Table 35

TRAINING METHODS AND EXTRAMURAL FACILITIES EMPLOYED BY CIVILIAN AGENCIES INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Method or Facility	NGO	U.S. Government		UNDP
		Peace Corps	A.I.D.	
Training Method				
Orientation Session	√		√	
Language Training	√	√	√	
U.S.	√			
Host Country	√			
Both U.S. and Host Country	√			
Short Courses	√			
Host Country Training Center	√	√		
On-the-Job Training	√			
In-Service Training	√			
Annual Seminar/Orientation Session	√			
Special Techniques	√			
Development of Individual Goals	√			
Educational TV-Video Tape	√			
Film Strips	√			
Single Concept Training Unit	√			
U.S. Training Center	√	√		
Extramural Facility				
Colleges and Universities	√	√		√
International Agencies	√			
U.S. Government Facilities	√		√	
FSI	√		√	
A.I.D.	√			
Peace Corps	√			
Commercial Firms			√	
Unspecified *(inferred)*	√			
U.N. Specialized Agencies				√

The most often mentioned extramural facilities utilized by the civilian agencies in their training programs for personnel to work in international development assistance are *colleges and universities* (see Table 35). These institutions are frequently selected for their curriculum--skills needed on a particular project or area studies of a host country area--or, whenever possible, both.

4. Tour of Duty

The average duration of overseas assignment among NGO's supplying such information was 25 1/2 months, but 50 percent of such special duty personnel remain in assignment in the field for longer than the time originally agreed upon. The standard two-year tour, which is observed by the Peace Corps, was set by A.I.D., currently part of an initial 30-month assignment. The average employment term with WHO is two to five years. There is a trend among some NGO's to adapt the length of overeseas assignment to the project. The overall effectiveness of short overseas duty tours has been seriously questioned.

5. Role

For the most part, the civilian agencies in this study emphasize a role of *advice and assistance* for their personnel involved in international development assistance. This is particularly true for the NGO's, the Peace Corps and A.I.D. Among the key words used by the NGO's and the Peace Corps in defining this role are *adaptation, participation, relevance* and *understanding*.

6. Evaluation

Eleven of the NGO's in the study sample perform some form of personnel evaluation, usually at regular intervals ranging from six months to three years; the usual interval is annually or semiannually. The form which these personnel evaluations take may be subjective reports, although the more objective formats of checklists and questionnaires are the more usual case. Evaluation of A.I.D. personnel is performed yearly in *sophisticated and detailed form*. Personnel evaluation information was not forthcoming from the other civilian agencies in the study.

F. Planning Policies

1. Scope of Activity

The study sample NGO's support and/or operate development assistance programs in 103 countries in Africa, Asia, and Latin America, as well as some in Europe, these last primarily a carry over from the relief activities which followed World War II. By comparison, in September 1969 A.I.D. was participating in development programs in 67 countries in Africa, Asia, and Latin America; in 1971 the Peace Corps had volunteers in 61 countries; and the UNDP has overseas personnel in 92 countries. WHO has worldwide operations.

The development assistance interests and activities of the NGO's in the study sample are fairly evenly distributed between Africa, Asia and Latin America, but more of the study sample non-government organizations were conducting development assistance activities in Latin America than in any of the three other areas, and more of the study sample NGO's are active in more Latin American countries than is the case in other areas of the world. Similarly, A.I.D. is participating in development programs in more Latin American countries than is the case in other areas of the world. Of course, ISDI and PAHO restrict their operations to Latin America.

Table 36 presents the categories of development assistance in which the civilian agencies in this study are interested and/or involved, and which categories were cited by which organizations. As seen in Table 36, those categories which figure most prominently in the international development assistance operations of the civilian agencies in this study are *community development, education, food production and agriculture, medicine and public health, social welfare and public and business administration;* however, public and business administration is a category of major importance for the civilian agencies other than the voluntary agencies.[Ref. 10] According to Atuwatse Okorodudu of TAICH, Family Planning programs are *an area of great current concern. It should, however, not be surprising if the present extent of Agency programs in this area is not exactly reflective of the kind of attention it deserves. The main reason for this is that for most Agencies, their programs in this area are relatively new and for many others, still in their preliminary stages.*

Table 36

CATEGORIES OF DEVELOPMENT ASSISTANCE IN WHICH CIVILIAN AGENCIES IN THIS STUDY ARE INTERESTED AND/OR INVOLVED

Development Assistance Category	NGO's*	U.S. Government Agencies				U.N. System	
		Peace Corps	A.I.D.	TTPI	ISDI	UNDP	WHO/PAHO
Community Development	1	✓		✓	✓		
Education	1	✓	✓	✓			
Food Production and Agriculture	3	✓	✓	✓		✓	
Cooperatives, Credit Unions, Loans	4		✓				
Medicine and Public Health	4	✓		✓			✓
Family Planning	6		✓				
Social Welfare	7		✓	✓	✓		
Communications/Information	8			✓			
Construction	8			✓			
Public and Business Administration	10	✓	✓	✓			
Research	11			✓	✓		
Equipment and Material Aid	12		✓	✓			
Industrial Development	13			✓			

*Numbers indicate apparent rank of importance to study sample NGO's from Table 8; decreasing emphasis with increasing number.

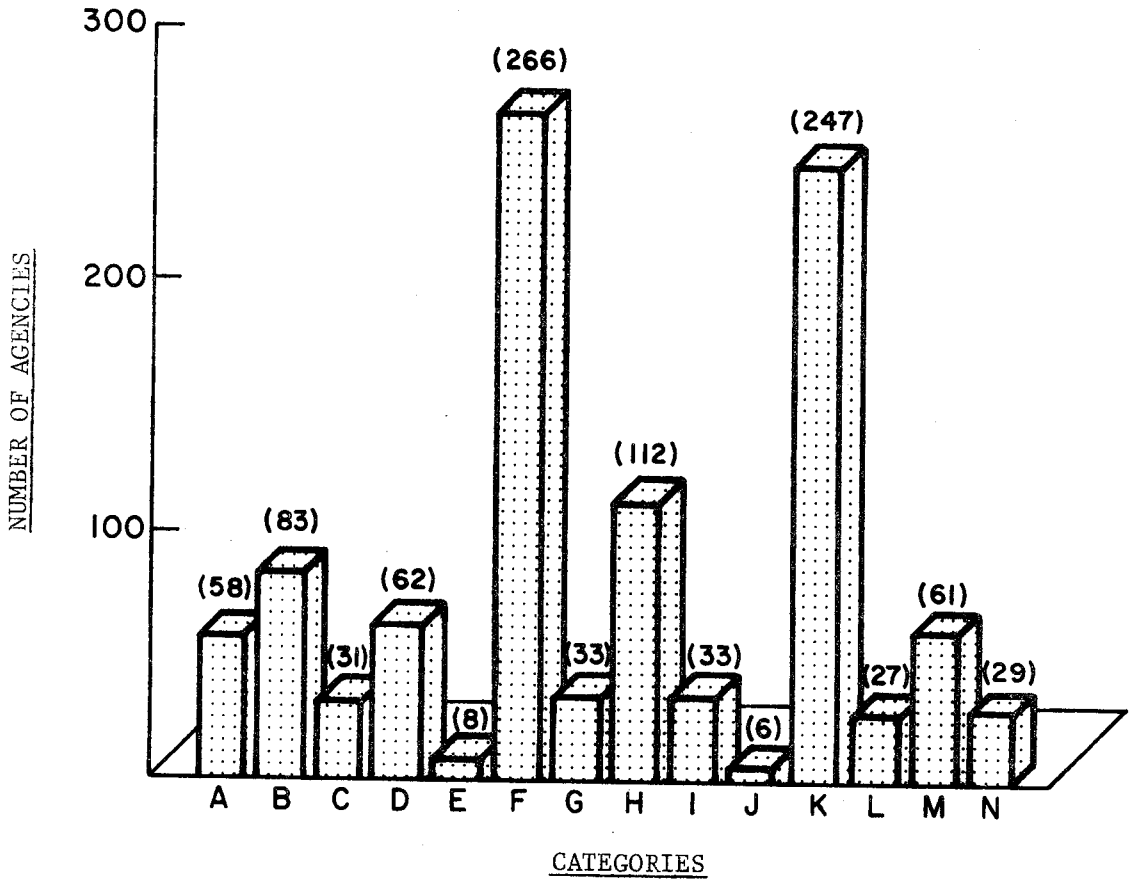
Prevailing interest indicates that many more Agencies will be providing programs in this area. Similarly, the lack of involvement in such categories as Industrial Development, *"Economic Development" and "Management Services" would not be unexpected. It seems natural that in the stride for development, significant demands for these kinds of services would normally come at a much later stage for most of these countries.* [Ref. 11]

Figure 32 shows the number of NGO's with programs in the major development assistance categories from a recent TAICH survey. The findings from the larger scale TAICH survey offers a certain level of support to the representative nature of the RTI sample of NGO's and the validity of the RTI findings in this area during Phase III.

2. Project Selection

Most of the civilian agencies in the study provided some information on the source of ideas for new projects. This information is summarized in Table 37, which presents a summary listing of the sources of ideas for international development assistance projects operated and supported by the civilian agencies, and indicates which organizations utilize each source. Most of the civilian agencies in the study indicated that ideas for new development assistance projects most frequently originate with their *overseas staff* or some element of the host country. *Not one agency in the study indicated that ideas for new development assistance projects originate in the home office of the organization.* This finding lends support to their indicated emphasis on response to *felt needs.*

Most of the agencies in the study require some type of *grant application* or *project proposal* outlining suggested development assistance efforts, but the form which these proposals take varies considerably among the organizations. Some organizations simply request the submission of an informal and unstructured letter, while others require a more formal and structured outline and discussion of the proposed effort. According to CARE, *"good projects" don't just happen but result from thorough project research, careful project selection, good planning and design, and aggressive follow-up.* [Ref. 12]



Key to Categories

A = Communications
B = Community Development
C = Construction
D = Cooperatives, Credit Unions & Loans
E = Economic Development & Planning
F = Education
G = Equipment & Material Aid
H = Food Production & Agriculture
I = Industrial Development
J = Management Services
K = Medicine and Public Health
L = Population and Family Planning
M = Social Welfare
N = Special Projects

Source: Mary Ellen Burgess, Executive Secretary, Technical Assistance Information Clearing House, New York. Personal communication, May 10, 1972.

Fig. 32. Graph Showing Number of Nongovernment Organizations with Programs in Major Development Assistance Categories.

Table 37

SOURCES OF IDEAS FOR INTERNATIONAL DEVELOPMENT ASSISTANCE PROJECTS OPERATED AND/OR SUPPORTED BY CIVILIAN AGENCIES

Source of Project Idea	Civilian Agency				
	NGO's*	A.I.D.	ISDI	UNDP	WHO
Civilian Agency					
Overseas Staff	1	✓		✓	
Member Organizations	3				
Host Country					
Government Agency	2				
Recipients of Assistance	3				
Private Sector	6		✓		
U.S. Government					
A.I.D.	6				
U.S. Embassy in Host Country	8				
International Agency	3				
Regional Commission				✓	

* Numbers indicate apparent priority from Table 20; decreasing importance with increasing number.

Table 38 presents those criteria which are applied by the civilian agencies in this study in selecting international development assistance projects. Of the 12 criteria which appear to be of most importance to the NGO's, *felt need, by invitation or request of host country government, compatibility with host country development goals and planning, the availability of local resources,* and *the type of project* were all cited by at least three of the Government and/or international civilian agencies; *available funding* was only specifically cited by A.I.D. among the Government and international agencies, but undoubtedly plays an important role in project selection by the other agencies as well.

Of those project selection criteria not rated so highly by the NGO's, *overall plan and feasibility* was cited by three of the Government and/or international agencies, while *self-help* elements and *potential impact* were cited by at least two of this latter group of agencies, probably indicating that these criteria should be considered somewhat more important than the NGO rating would indicate. Similarly, due to the nature of the study methodology, *organizational philosophy* and *past experience and expertise* are probably of more importance as project selection criteria than the ratings by the NGO's would indicate.

As will be seen in a subsequent section, the importance placed by the civilian agencies on *personnel, objectives, the availability of local resources, the host country political climate, host country government reaction, compatibility with host country development goals, magnitude* of the project, *methodology, the assumption of local control of the project, felt need,* and *cost/benefits,* as factors influencing the success or failure of projects and project effectiveness criteria would encourage somewhat stronger consideration of factors related to these development assistance elements in project selection.

G. Project Operations

Several of the civilian agencies in the study have developed guidelines and even detailed manuals to facilitate development assistance project implementation and operation in the field. In general, the emphasis in development assistance operations is on the *personnel* involved

Table 38

CRITERIA APPLIED BY CIVILIAN AGENCIES IN SELECTING PROJECTS IN INTERNATIONAL DEVELOPMENT ASSISTANCE

Project Selection Criterion	Civilian Agency							
	NGO's*	U.S. Government Agency				U.N. System		
		Peace Corps	A.I.D.	TTPI	ISDI	UNDP	WHO	PAHO
Available Funding	1		✓					
Felt Need	2	✓		✓		✓		
Non-political Nature	3							
Availability of Qualified Personnel	4							
By Invitation or Request Only	5		✓				✓	✓
Compatible with Host Country Development Goals	6		✓			✓	✓	
Arrangement with Host Country Government	7							
Political Stability of Host Country Area	8							
Availability of Capable Local Leadership	8							
Availability of Local Resources	10	✓	✓			✓		
Type of Project	10	✓			✓	✓	✓	✓
Objectives	10							
U.S. Foreign Policy	13	✓						
Units of Service	14							
In Viable Area	15							
Occupational Heterogeneity	15							
Response to Request for Proposal	15							
Self-help	18	✓	✓					
Pilot Project Preferred	18							
Availability of Matching Funds	20		✓			✓		
Ability to Become Self-supporting and Continue	20							
Potential Impact	22	✓				✓		
Magnitude	22	✓						
Geographic Location	24							
Overall Plan and Feasibility	25	✓	✓			✓		
Timing	25		✓					
Organization Philosophy	25							
Costs/Benefits	28					✓		
Support from Host Country Private Sector	28							
Time Requirements	30							
Overall Capability of Recipients	31							
Religious Considerations	32							
Provisions for Review	33							
Past Experience and Expertise	34	✓						
Local Interest		✓	✓					
Personnel Policies		✓						
Availability of Health and Medical Care		✓						
Skill Requirements and Flexibility		✓						
Effect on Local Employment		✓						
Capital Contributions		✓						
Type of Administration		✓						
Agency Strategy			✓					
Other Donor Activities			✓					
Source of Project Idea				✓				
Technical Requirements						✓		

*Numbers indicate apparent priority as applied by NGO's (from Table 23); decreasing importance with increasing number.

and careful selection of the project. According to a CDF Training Unit, *the most important element of any community development program is the Community Development Worker.* [Ref. 13]

In selecting development assistance projects, the *type of project* was cited as a criterion by 11 NGO's, the Peace Corps, ISDI, UNDP, WHO AND PAHO. Fifteen of the study sample NGO's indicated support of *pilot projects* (Table 26), as did ISDI and the UNDP. Fourteen of the study sample NGO's indicated support of *demonstration projects*, as again did ISDI and the UNDP. Seven of the study sample NGO's advocated *feasibility studies*. Four of the NGO's in the study sample indicated support of *Food-for-Work* projects, as did A.I.D.; *there are evaluation teams studying the* A.I.D. *PL 480 programs in various countries.* [Ref. 11] Both the Peace Corps and A.I.D. indicated support of *self-help* projects. There seems to be a general trend away from *giveaway* programs that rob the recipients of their dignity.

As will be seen in a subsequent section, *advance planning*, the *relevance* of the project or technique to the local situation, the *perception* of the development assistance project or its staff by the recipients, the *development of local skills*, the eventual *assumption* or *control of the project* by the recipients, and *material accomplishments* have been cited as factors influencing the success or failure of development assistance projects and/or project selection criteria. It would seem that these elements should be considered in project planning, implementation and operation.

Several of the NGO's, WN and CDF in particular, have developed techniques that appear particularly useful in development assistance, such as the utilization of visual aids.

H. Program/Project Evaluation

IVS volunteers in orientation have asked *why is community development* [CD] *inherently good? In some places, doesn't CD disrupt the social order to such a degree so as to have an overall negative effect?* [Ref. 14] Similarly, Hapgood and Bennett venture that *there is . . . the possibility that the Peace Corps may at times have done harm.* [Ref. 15] Several of the organizations in the study indicated *some unsuccessful projects* or admitted to having *made some mistakes*, although several organizations, such as the Kellogg Foundation, indicated that their failures *sometimes pointed to successful new applications* [Ref. 16] or *impelled a redirection of efforts*

toward a goal. [Ref. 17] All of the civilian agencies in this study, however, consider their international development assistance operations to have been successful, with objective estimates ranging from 95-100 percent of projects *successful.* As John L. Peters, President of WN, said in a letter to John A. Hannah, Director of A.I.D., some agencies *have demonstrated both genuine concern for and real ability in this task of "development." I am thinking particularly of such agencies as International Voluntary Services, the American Friends Service Committee, Accion, the Community Development Foundation and World Neighbors. There are, of course, others. And I would add to this list the Peace Corps. These agencies have learned to work "from the bottom up." And they have within their number the sort of "technical competence" which could make the proposed International Development Institute an effective force for the sort of results which the President desires and which you have described.* [Ref. 18]

The data collected on evaluation methods and techniques employed by civilian agencies in their international development assistance operations came by various routes and in varied form: primary, secondary and/or inferred. Data on Peace Corps evaluation methods and techniques are very sketchy and incomplete. On the other hand, the detailed PROP-PIP-PAR system of A.I.D. generally elicited reactions of frustration and amused disdain from both within and without the organization. Some organizations in the study regarded evaluation as *foolish, biased* and/or *a hollow exercise,* but all organizations in the study perform some form of evaluation at some level. Most of this evaluation is focused at the project level; many have evaluation as a built-in component to their programs and projects. The most oft-evaluated *program* has been *training.*

Table 39 summarizes the methods of project evaluation utilized by the civilian agencies in this study. The most often used method of evaluation is some form of *report* from the field, followed closely by *visits* to the project site by a team of evaluators. These evaluations may be done by parties directly involved with the project or not, or directly involved with the organization or not. Generally, however, the RTI research team ascribed to the view expressed by representatives of the Asia Foundation that outside evaluation experts may have a deleterious effect on the project in that their presence may question the integrity of project personnel and affect the continuity and interrelationship of projects.

Table 39

CIVILIAN AGENCIES INVOLVED IN INTERNATIONAL DEVELOPMENT ASSISTANCE: METHODS OF PROJECT EVALUATION

Evaluation Method	Civilian Agency						
	NGO's *	Peace Corps	A.I.D.	BIOA	TTPI	UNDP	WHO
Field Reports	1		✓		✓	✓	✓
Site Visits	2	✓			✓		
Review by Participants (Volunteers, Advisors)	3						
Post-project Review	3						
Questionnaire	5			✓			
Review by Host Country Agencies	6						
Review at Annual Meeting	6						
Interviews	6	✓			✓		
Advisory Council Review	9						
Biennial Review of Methods	9						

* Numbers indicate apparent ranking of relative importance by the NGO's, as shown in Table 31; decreasing importance with increasing number.

The form and frequency of the field reports varied widely, but the most effective would appear to be an annual report which reflects both objective and subjective elements, but more importantly a report which relates the project to other efforts in the country or program; the objectives of the project, program and organization; and its potential to the recipients.

Five NGO's indicated the application of a *post-project review*, where the development assistance effort is re-evaluated one or two years after completion to assess the validity of evaluation at the time of project completion or transfer to indigenous control, and to determine the direction of the project and its impact.

Table 40 presents a summary of project effectiveness criteria and other factors considered important by the civilian agencies in this study in determining and/or measuring the success or failure of international development assistance projects. As shown in Table 40, of those factors considered by the study sample NGO's as important in determining the success of international development assistance efforts, *personnel* and *advance planning* were each cited by two Government and/or international agencies, while *flexibility* was cited in regard to Peace Corps training programs and the latitude given Peace Corps field personnel. As a whole, however, *flexibility*, *continuity* and the lack of constraining fiscal *accountability* are features that distinguish NGO from Government-oriented development assistance programs. These qualities assist the NGO's in developing an *organizational memory* which *helps avoid repeating mistakes. Certain kinds of projects and certain kinds of mistakes have a way of cropping up in other countries after they have occurred in one country.* [Ref. 19] Another quality which is important in determining the success or failure of international development assistance projects is *motivation*, of the organization and its personnel, and of the recipients of the assistance.

Of those project effectiveness criteria shown in Table 40 as considered important by the study sample NGO's in measuring the effectiveness of international development assistance projects, the *assumption of control* of the project by the indigenous population and the determination that the project filled a *felt need* were each cited by two of the Government and/or international agencies, while the *development of local skills* was cited by the Peace Corps and the measurement of *cost/benefits* was cited by A.I.D.

Table 40

CIVILIAN AGENCIES: PROJECT EFFECTIVENESS CRITERIA AND OTHER FACTORS INFLUENCING SUCCESS OR FAILURE OF INTERNATIONAL DEVELOPMENT ASSISTANCE PROJECTS

	Civilian Agency								
	NGO's*	U.S. Government Agencies						U.N. System	
		Peace Corps	A.I.D.	BIOA	TTPI	ISDI	U.S.-U.N. Mission	UNDP	WHO
Critical Factor									
Personnel	1	✓		✓					
System of Objectives	2								
Availability of Local Resources	2								
Host Country Political Climate	4								
Continuity	4								
Relevance of Project/Technique to Local Situation	6								
Advance Planning	7							✓	✓
Host Country Government Reaction	8								
Lack of Constraining Accountability	8								
Organization Flexibility	8	✓							
Systematic Record	8								
Magnitude	12								
Perception of Project/Personnel by Recipients	13								
Detailed Methodology	13								
Local Determination and Cooperation		✓							
Time Requirement							✓		
Project Effectiveness Criterion									
Local Control of Project Assumed	1	✓							✓
Development of Local Skills	2	✓							
Fills Felt Need	3	✓				✓			
Demand (Paid) for Services	4	✓							
Cost/Benefits	4		✓						
Replication of Pilot Project	6								
Material Accomplishments	7								
Repayment of Loan	8								
Withdrawal/Failure of Students	8								
Objectives Reached			✓		✓				
Impact			✓						
Inputs/Outputs			✓						
Program Implications			✓						
Compatibility with Host Country Development Goals				✓					

*Numbers represent apparent priority or importance ratings as determined from information supplied by the NGO's--see Tables 24 and 27; decreasing importance with increasing number.

Throughout this research effort, the *cooperation* and *coordination* of international development assistance efforts by the civilian agencies at different levels, and the NGO's in particular, was an outstanding feature. As Barbara Heizman has said, *technical assistance is a cooperative rather than a competitive venture.*[Ref. 20] In fact, the aim of the UNDP is coordination and cooperation.[Ref. 21] For example, the training programs and facilities of many NGO's, including those of CDF, are utilized by host country agencies, U.S. Government agencies, and personnel of other NGO's; IIRR training materials are used by the Peace Corps in their training programs [Ref. 22]; and at least one NGO indicated that their volunteers have participated in Peace Corps training programs. Ten of the study sample NGO's indicated some level of cooperation, coordination or involvement with the Peace Corps or its volunteers in the host country. A.I.D. operates through both grants and contracts and uses NGO's for extension of A.I.D. programs; 16 of the NGO's in the study sample conduct some portion of their development assistance under contract to some other agency, such as A.I.D., the host country government, or another NGO. Ten of the study sample NGO's are members of ACVA, 14 are registered with the A.I.D. Advisory Committee on Voluntary Foreign Aid, and eight are members of ICVA.

Of particular interest was the finding that eight study sample NGO's indicated some level of coordination, cooperation or involvement with either the U.S. or host country military, which even the Peace Corps actively avoids. However, this association with the military has created some problems for those NGO's, as has their association with U.S. Government agencies and programs in general.

I. Conclusions

In an effort to make effective and efficient use of somewhat limited resources, the NGO's have developed consistent and realistic objectives and maintain a manageable organization which allows them some flexibility in operations without constraining fiscal responsibility. They exercise meticulous care in selection and placement of personnel and the selection of projects, again probably dictated somewhat by limited resources, which, coupled in many cases by years of experience and an organizational memory,

almost makes success in their international development assistance operations a forgone conclusion. Still, all the NGO's in the study sample perform some form of evaluation and are becoming increasingly aware of its importance.

The Peace Corps seems to exhibit the same meticulous care in the selection and placement of personnel and the selection of development assistance projects, and also seems to enjoy some flexibility of operations without the kind of constraining fiscal accountability from which A.I.D. suffers. ISDI seems to be developing a manageable organization and operation, while both A.I.D. and the UNDP appear somewhat unwieldy and therefore vague, although the UNDP certainly less so than A.I.D.

It would appear that agencies interested and/or involved in MCA could profit from the international development assistance experience of civilian agencies. Benefit to MCA from such experience might require some reorientation of the military, however, especially in the case of the NGO's due to some of the differences in philosophy and approach of government and nongovernment agencies. Even so, one NGO in the study sample ventured the prospect of *transferring the military into an employment generating and skill-building force.* [Ref. 23]

The objectives, methods and techniques employed by the Peace Corps in international development assistance in emerging countries are of particular interest. Being well-documented, broad-based and yet specific, they might be especially useful in MCA. Furthermore, Peace Corps *lessons learned* may be useful to agencies interested and/or involved in MCA. The Peace Corps being a relatively well-disciplined Government agency, MCA teams or similar programs may encounter similar problems, or enjoy similar success.

According to Mayall *et al.* [Ref. 3], *there is potential for transfer from the civilian sector to the military. A.I.D. has faced many difficulties in finding program vulnerabilities and dealing with adversity. Even from adverse experience there are lessons to be learned that might be most beneficial to military civic action. Essentially the same is true of the UNDP. A.I.D. administers a large program in a large bureaucracy with a large number of different elements that have to be fitted together. Technical assistance and community development, however, is a small but distinct part of this massive program--and these activities, initially*

inadequately evaluated, became a focus for evaluation beginning in 1965. It is hard to separate A.I.D.'s overall administrative and regional or individual country programming difficulties from the shortcomings of its analysis techniques. At times A.I.D. has given too much attention to external resources constraints and not enough attention to poorly conceived socioeconomic policies deeply rooted in the domestic politics of aid-recipient countries. In still other instances A.I.D. has undertaken projects that probably were foredoomed to failure because they collided with traditional values and, also, because A.I.D.'s analysis frequently has given inadequate attention to deep-seated cultural factors. More often A.I.D.'s programs have suffered from the lack of coherence of U.S. foreign policy. A.I.D. frequently has found itself with a program in search of an objective and projects in search of a felt need.

The U.N. programming system is highly complex and, like the A.I.D. programming system, has little direct applicability to "military civic action."[Ref. 3] However, there is no country target used by UNDP (in distinct contrast with USAID programs) [Ref. 8], and the UNDP will not supply arms or security, which, according to a UNDP representative, is the purpose of USAID.[Ref. 21]

Finally, agencies interested and/or involved in MCA may find the objectives of the TTPI administration useful and may profit from the U.N. evaluation of U.S. development, administration, and assistance in Micronesia.

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Appendix A

Résumés of Authors/Research Team, Volume I

Anne M. Fuller

Benjamin S. H. Harris III

ANNE M. FULLER, Junior Analyst

Experience in operations analysis and data reduction.

Professional Experience

1968 to date. Research Triangle Institute, Research Triangle Park, North Carolina 27709. Office of Institute Programs, Junior Analyst: Coordinate technical and administrative support for overseas projects. Contribution to studies of military civic action. Literature search to abstract data concerning the effect of alcoholism on cirrhosis of the liver. Reviewed, prepared abstracts and validated currently funded alcoholism grants.

1966-1968. Research Triangle Institute, Research Triangle Park, North Carolina. Research Assistant: Data reduction and analysis. Assisted on model development project, "A Recovery and Reconstitution Model for the Strategic Strike Forces," for the Air Force, Directorate for Studies and Analysis. Participated in collecting and analyzing data in the Long Range Planning for Higher Education Project for the North Carolina Board of Higher Education. Aided in economic and program analysis studies on kidney disease for the United States Public Health Service.

1962-1966. Research Triangle Institute, Research Triangle Park, North Carolina. Statistics Research Division, Assistant Surveyist. Analyzed sample survey data and prepared summary reports.

Education

A.B., University of North Carolina at Chapel Hill, 1950.

Professional Activities

Sigma Alpha Iota

Publications

A Recovery and Reconstitution Model for the Strategic Strike Forces, "Data Descriptions," Volume III, OU-241, Final Report, Research Triangle Park, N. C.: Research Triangle Institute, Sept. 30, 1966. (co-author)

Military Civic Action: Evaluation of Civilian Techniques in International Development Assistance, Volume I, 51U-533, Final Report, Research Triangle Park, N. C.: Research Triangle Institute, June 1972. (co-author)

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BENJAMIN S. H. HARRIS, III, Analyst

Background and experience include the study of medicine and its application to clinical and experimental neurophysiology, toxicology, medical economics, health service systems, medical information systems, substance abuse, and survey design, administration and analysis.

Professional Experience

1964 to Date. Research Triangle Institute, Research Triangle Park, N. C., 27709.

1971 to Date. Analyst, Center for Health Studies. Currently involved in coordinating site visits to alcoholism treatment centers and monitoring grant review committees for the National Institute on Alcohol Abuse and Alcoholism. Supervised survey of Medicare procedures used by physicians in selected metropolitan areas; major contributor to a study involving the collection and analysis of data relating to civilian techniques in international development assistance, and a survey of attitudes and capabilities of major hospitals in North Carolina regarding the handling of patients involved in radioactive accidents. Project Leader of a study of diagnosis and determination of disability in alcoholism; the preparation of a directory of State and local alcoholism services; and a pilot follow-back study of patients treated for tuberculosis in the North Carolina Sanitorium system by pneumothorax and pneumoperitoneum with fluoroscopy during the period 1930-1950. Assists in the preparation of new contract proposals related to health services, and served as a consultant to the Craven County (N. C.) Health Department in the preparation of a proposal to the North Carolina Regional Medical Program.

1966 - 1971. Analyst, Operations Research and Economics Division. Principal investigator on studies of hospital utilization in the last year of life and the economic costs of kidney disease; major contributor to study of the post nuclear attack prevention and control of communicable respiratory diseases and in the establishment of a registry of chronic intermittent dialysis patients in the U. S.; supervised survey of drug usage among arrestees for serious crimes in selected metropolitan areas; research on the economic costs of alcoholism.

1964 - 1966. Biologist, Natural Products Laboratory. Responsible for biological assays and pharmacologic evaluation of synthetic and naturally-occurring toxic agents, the immediate operation of the Institute's animal colony, coordinating the Laboratory's bio-assay program, and assisting in the preparation of new contract proposals in bio-medical areas.

1961-1964. Duke University Medical Center, Durham, N. C., 27706. Research assistant, Department of Psychiatry, Division of Electroencephalography (EEG). Research activities included portable EEG, the EEG in various types of epilepsy, guides for teaching EEG, neurophysiologic changes in the brain of the cat after administration of hallucinogens, and changes in electrical activity resulting from drowsiness and psychopharmacologic agents; preparation of Keysort data cards for classification and condensation of EEG's; and recording EEG's in operating rooms during neurosurgical procedures. During this time also served as junior staff psychiatrist, John Umstead (state mental) Hospital, Butner, N. C.

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Education

B.A., Zoology, Duke University, Durham, North Carolina, 1960.
Graduate work in medicine, Duke University School of Medicine, 1960-1965.
Course in Operations Research, Georgia Institute of Technology, Atlanta, Georgia, 1968.
San Diego Summer School of Alcohol Studies, University of California, San Diego, 1972.

Honors

President, Pre-med scholastic honorary society, Duke University, 1959-60.
NIMH student research stipends, summers of 1961 and 1963.

Selected Publications

"Experience with Portable Electroencephalography in a General Hospital." Electroencephalography and Clinical Neurophysiology, 1963, 15:1047 (Abstract of paper presented to Southern EEG Society, Durham, N. C., November 17, 1962).

"Psychiatric Problems in Children with Frontal, Central and Temporal Lobe Epilepsy." Southern Medical Journal, 1966, 59:49-53, coauthor.

"Murine Toxicity of Cochliobolus carbonum." Applied Microbiology, 1968, 16(11):1710-1722, coauthor.

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Appendix B

Initial Letter to Nongovernment Organizations

(Facsimile)

RESEARCH TRIANGLE INSTITUTE
POST OFFICE BOX 12194
RESEARCH TRIANGLE PARK, NORTH CAROLINA 27709

OPERATIONS RESEARCH AND ECONOMICS DIVISION

April 21, 1971

Mr. James McCracken
Executive Director
Church World Service
475 Riverside Drive
New York, New York 10027

Dear Mr. McCracken:

The Operations Research and Economics Division of the Research Triangle Institute (RTI) is currently engaged in a study of technical assistance methods and techniques employed by government and private agencies in their overseas operations, a study which we feel can be of significant value in improving technical assistance in community development overseas.

The present phase of our research effort is directed toward an in-depth study of selected U. S. nonprofit organizations involved in technical assistance abroad. We are primarily and particularly interested in agencies which have been active and effective in overseas technical assistance. From information provided me through the office of Mr. Charles Ausherman for a previous study which RTI performed for the Agency for International Development of family planning and maternal and child health in underdeveloped areas, your organization appears to be one which might be of particular assistance to our study.

The Research Triangle Institute will be most grateful if appropriate personnel from your organization could confer with one or more of RTI's research analysts at your organizational headquarters in New York on some pre-agreed date in the relatively near future. A conference outline or tentative agenda in the form of an informal questionnaire will be provided in advance of any such meeting that might be arranged in order to assist your personnel in preparing for such discussions.

In particular, RTI's interest would focus on the following aspects of your organization:

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(919) 549-8311 FROM RALEIGH, DURHAM AND CHAPEL HILL

Mr. James McCracken
Executive Director
April 21, 1971

a. Doctrine and objectives (both general and specific);

b. Staff organization: channels of authority and specific responsibilities, particularly with regard to overseas staff;

c. Personnel recruiting, selection, and training methods;

d. Planning techniques, including project selection criteria;

e. Project organization and operating techniques, particularly guidelines for project implementation and continuation; and

f. Evaluation techniques, including methods of appraisal, project effectiveness criteria, and subjective evaluation as to whether or not a method or technique, program or project, has been successful including not only internal staff reports but feedbacks from external evaluations.

Attached is a brief description of RTI and additional information regarding the research project with which we are immediately concerned.

A response indicating willingness on the part of your organization to cooperate in this effort, intended solely to ascertain ways and means for improving overseas programs in socioeconomic development, would be appreciated. If you have any questions, please do not hesitate to call me collect at (919) 549-8311.

Thank you for your attention. My thanks again to Mrs. Helen Miller and Mr. Charles Ausherman.

Yours very truly,

Benjamin S. H. Harris, III

BSHH,III/mmh

Appendix C

Phase III Questionnaire

(Facsimile)

Overseas Technical Assistance and Development
by U.S. Private Agencies

Please review the following questions; mark brief responses where appropriate space is provided. Response to other questions will be discussed with the Research Triangle Institute team.

A. History and Objectives

1. In what year was your organization founded? ☐☐☐☐

2. Do you have available a concise printed history of your organization? ☐ Yes ☐ No If yes, we would like to obtain a copy.

3. What are the formulated objectives of your organization? How were these objectives decided upon?

4. Do you have available a printed discussion of the philosophy and objectives of your organization? ☐ Yes ☐ No
If yes, we would like to obtain a copy.

B. Overview of Organization and Activities

5. What is the primary interest of your organization? ☐ Relief ☐ Technical Assistance
(Not meaning to imply that the two are mutually exclusive.)

6. In technical assistance, is your organization's involvement primarily

☐ Financial and/or material support or
☐ Project operation in the host country
(Not meaning to imply that the two are mutually exclusive.)

7. In what countries do you currently have active projects?

8. Listed below are major areas of technical assistance activities. Please rank with the numbers 0-5 those which are currently of most interest to your organization (currently the focus of the greatest amount of effort and funding), with "0" indicating little or no interest; if areas are of equal importance, use the same number. If another area(s) figure heavily in your future planning (which would produce a change in emphasis), please indicate with the numeral "6".

☐ Communications/information
☐ Community development
☐ Construction
☐ Cooperatives, credit unions and loans
☐ Education
☐ Equipment and material aid
☐ Family planning
☐ Food production and agriculture
☐ Industrial development
☐ Medicine and public health
☐ Public and business administration
☐ Research
☐ Social welfare

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9. Do you have available a concise printed description of your organization's technical assistance activities? ☐ Yes ☐ No
If yes, we would like to obtain a copy.

10. Do you have available a diagram, outline and/or description of the organization of your staff, including channels of authority, specific responsibilities, and the relationship of overseas staff to the home office? ☐ Yes ☐ No
If yes, we would like to obtain a copy.

11. What is the current number, distribution (by function and location) and background of your staff?

C. Personnel recruitment, selection and training

12. How do you obtain your personnel? Please indicate proportion (percent) obtained by recruitment and referral.

☐ Recruitment; what are your recruiting procedures?
☐ Referral from other sources; what are the major sources of referral?

13. What are the criteria by which your personnel are selected? Please indicate priority.

14. What is your selection process? (Interviews, testing, etc.)

15. Do you conduct your own training program for overseas personnel?
☐ Yes ☐ No

If yes, do you have standard training schedules and procedures?
☐ Yes ☐ No

If the answer to question 15 is no, what training do your personnel receive?

16. Do you have available printed information describing your organization's personnel recruiting, selection, and/or training programs?
☐ Yes ☐ No If yes, we would like to obtain a copy.

D. Project planning, selection, and implementation

17. Do you have available a printed description of the techniques employed in project planning, selection, and/or implementation?
☐ Yes ☐ No If yes, we would like to obtain copies.

18. Do you have an operations manual? ☐ Yes ☐ No

19. What are the channels through which your organization generates project ideas?

20. What criteria are employed by your organization in selecting a project? Please indicate priority.

21. What steps do you employ in initiating a project?

E. Evaluation of programs and projects

22. Do you consider your programs (personnel selection, training, project selection, etc.) and technical assistance projects successful?

23. How do you distinguish between successful and unsuccessful programs and projects?

24. Are in-depth evaluations of your programs and/or projects performed?
☐ Yes ☐ No

25. Do you perform in-depth evaluations within your organization?

☐ Yes: What is the composition and responsibility of the evaluation team? What are the measures (project or program effectiveness criteria) for evaluation?

☐ No: Who performs the evaluation?

26. Are evaluation reports available? ☐ Yes ☐ No

If yes, we would like to obtain a copy.

Appendix D

Sample Pages: Data Matrix

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Appendix D

Sample Pages: Data Matrix

PERSONNEL SELECTION PROCESS

Agency	A	C	D	E	F	G	H	J	K	M	N	O	P	Q...
	*							*	*					
Source of Personnel:														
Recruitment			+	+				+	+	+			+	+
Referral	+	+					+	+	+					+
Sources of Personnel:														
Colleges and Universities				+					+					
Member Organizations		+										+	+	
Peace Corps	+									+		+	+	
Professional Societies and Journals									+					
Ref. by Previous Employees	+											+		
State and Local Governments														
TAICH**	+													
Talent Bank		+					+		+					
U.S. Department of State														
VISTA**														
VITA**														
Word of Mouth	+			+								+		
Selection Process:														
Application			0							1		+	+	
Background Research	+									3				
Home Visit														
Interview	+	+							1	2		1	+	
References										3			+	
Subjective Opinion														
Testing		+											ø	

* Missing letters were allocated to organizations which, for one reason or another, did not participate in the research effort; see Chapter II.

\+ = Positive response.

0 = Negative response
(The absence of a positive response does not necessarily indicate a negative response; for the most part, questions were open-ended so as not to lead the respondent. See Appendix C for a sample copy of the questionnaire).

** See Appendix T for a list of abbreviations which appear in this report.

1,2,3, etc. = Rating of priority by NGO.

ø = Psychological testing.

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Agency	A	C	D	E	F	G	H	J	K	M	N	O	P...
Source of Project Ideas:													
A.I.D.		+											
Grantees											+		
Host Country Government								+		+			+
Host Country Industry													
International Agencies										+			+
Member Organization		+											+
Overseas Staff		+	+						+	+		+	+
Private Groups										+			+
U.S. Embassy in Host Country													
Project Selection Criteria:													
Ability to Assume Control			+			+	+				6		+
Arrangement with Host Country	+					+			2			1-2	+
Availability of Personnel	+					+				+		+	+
Available Funding	3				1		3	+	+	+	+	5	
Capable Local Leadership						+			+	4	5		+
Costs/Benefits									+			2	
Host Country Goals/Planning	+				+	+			+	3		+	+
Impact						+				+	2	2	+
Invitation/Request		+					+		+				
Location				+			+	+			4		0
Local Resources						+			+	2		3	+
Matching Funds						+			+			+	+
Need					+	+			1	1		1-4	+
Non-political Nature										+		+	
Objective									+		1		+
Occupational Heterogeneity						+							
Organization Philosophy							+				1		
Overall Capability				3					+	5			
Overall Plan and Feasibility									+	+			+
Past Experience and Expertise										+			
Political Stability of Host Country Area	1		1			+	2				7		+
Provision for Review													+
Religious Considerations										+		+	0
Request for Proposal													
Scope of Activities						+			+	+		+	
Self-help						+			+			1	+
Support from Private Sector	2				+			+		6			
Time Requirements			+							+	+		+
Timing			+							+	3		+
Type of Project		1					+	+				6	
Units of Service										+			+
U.S. Foreign Policy		2	0		2		1		3			1	
Viable Area						+							

Agency	A	C	D	E	F	G	H	J	K	M	N...
Evaluation		+	+	+	+	+		+	+	0	0
Consider Programs/Projects Successful		+			+			+	+	+	
Percent Projects Successful		100			98				95		
Management Evaluation Intramural		+									
Extramural											
Personnel Evaluation Intramural		+							+	+	
Extramural											
Program Evaluation Intramural	+	+									
Extramural			+								
Project Evaluation Intramural	+	+	+	+	+	+			+	+	+
Extramural							+	+	+		+
Measures of Effectiveness Stated		+	+	+		+			+	+	
Indicated					+		+	+			+
Method of Evaluation:											
Advisory Council								+			
Biennial Review of Methods											
Evaluation at Annual Meeting			+								
Evaluation by Host Agencies											
Evaluation by Participants			+								
Field Reports		+		+					+	+	+
Interview											
Post-project Review											
Questionnaire											
Site Visits				+					+	+	+
Effectiveness Criteria:											
Advance Planning			+		+						
Availability of Local Resources		+	+			+					
Continuity			+						+	+	+
Cost/Benefit		+									
Demand (Paid) for Services					+						
Detailed Methodology						+					
Development of Local Skills			+							+	
Fills Felt Need			+						+	+	
Host Government Reaction		+								+	
Lack of Constraining Accountability						+					
Local Control Assumed		+				+				+	
Material Accomplishments/Scope of Activities								+		+	
Perception of Project or Personnel											
Personnel		1	+			+			+		
Political Climate of Host Country Area		+			+	+					
Relevance of Technique			+								
Repayment of Loan											
Replication of Pilot Project											
Systematic Record						+					
System of Objectives		+							+	+	
Withdrawal/Failure of Students					+						

Appendix E

Categories of International
Development Assistance Programs

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Appendix E

Categories of International Development Assistance Programs

The following list and definitions of categories of international development assistance programs was adapted from a similar list provided RTI by the Technical Assistance Information Clearing House (TAICH) of the American Council of Voluntary Agencies for Foreign Service (ACVA).

1. COMMUNICATIONS/INFORMATION: Radio and television (TV) educational programs, training in the operation of communications systems, transportation services, advice to publishers, publication and translation programs.

2. COMMUNITY DEVELOPMENT: Rural and urban community development projects, food-for-work programs, self help programs, leadership training for civic, social and economic responsibility.

3. CONSTRUCTION: Includes capital and technical assistance for general construction projects such as schools, housing, roads and bridges.

4. COOPERATIVES, CREDIT UNIONS AND LOANS: Includes technical advice on national regulations, revolving loan funds and education.

5. EDUCATION:

   Exchanges, Grants and Scholarships.

   Fundamental: Literacy classes, adult education, citizenship training.

   Preschool and Primary: Nurseries, kindergartens, elementary and middle schools.

   Secondary: High schools and *colleges* serving as secondary schools.

   Higher and Professional: Colleges and universities excluding teacher training and social workers' schools.

   Home Economics: Instruction for women in homemaking, child care, and other domestic activities.

   Teacher Training: Normal schools, teaching workshops, and training of literacy teachers.

   Technical and Vocational: Business and trade schools, instruction in handicrafts, agriculture, training of social workers, mechanics, etc.

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Libraries and Publications: Includes compilation of reading lists, donations of books and magazines to libraries and other institutions, book rental programs.

6. EQUIPMENT AND MATERIAL AID: Food, clothing, medicines, books and equipment.

7. FAMILY PLANNING: Demographic research, information centers and clinics, supplies, training of family planning workers.

8. FOOD PRODUCTION AND AGRICULTURE:

Crop Improvement: Improved seeds, use of fertilizers, introduction of new crops, development of local cash crops, etc.

Extension: Agricultural courses, training and advice on better agricultural methods, work with 4-H types of clubs, demonstration projects, experimental plots and gardens.

Land Development: Land reform and resettlement, land reclamation, reforestation, irrigation, desalination projects, soil conservation.

Livestock, Poultry and Fish: Includes husbandry and fishery development and apiculture (beekeeping).

9. INDUSTRIAL DEVELOPMENT: Includes industrial advisory services, assistance to small industries, cottage industries, trade unions.

10. MEDICINE AND PUBLIC HEALTH:

Disease Control: Anti-malaria and anti-TB campaigns, sanitation and vaccination programs, public health education, and other preventive medical programs.

Medical Services: Hospitals, clinics, leprosaria, dispensaries, mobile clinics, dental clinics, maternity centers, home visits, general medical and nursing services.

Nutrition: School lunch programs, child feeding, use of protein-rich food, development of new types of food, assistance to local dairy and food industries.

Training of Medical Personnel: Doctors, nurses, midwives, and paramedical workers and assistants.

11. PUBLIC AND BUSINESS ADMINISTRATION: Assistance to improving procedures and mechanics of business, local law, and government; training of civil servants; economic and industrial planning, resource allocation, ecology, national and regional development.

12. RESEARCH AND SPECIAL PROJECTS: Research and other programs not included in other categories.

13. SOCIAL WELFARE:

Centers, Clubs, Homes and Hostels: Includes counseling and such programs as sports, recreation, students' activities, etc., provided in connection with these institutions; camps, etc.

Child Welfare and Orphanages: Includes day care centers, sponsorship programs, baby care and general child welfare.

Rehabilitation: Includes programs and centers for physically handicapped and mentally retarded, narcotic addicts and blind people.

Physical Education and Recreation.

Source: American Council of Voluntary Agencies for Foreign Service, New York, August 6, 1971.

Appendix F

Geographic Areas and Countries

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Appendix F

Geographic Areas and Countries

This appendix presents a list of countries, by geographic region, which have been identified by TAICH and/or the NGO's in the study sample as recipients of development assistance.

Far East

- Australia
- British Solomon Islands
- Burma
- Cambodia
- Caroline Islands
- Fiji
- Hong Kong
- Indonesia
- Japan
- Korea
- Laos
- Macao
- Malaysia
- New Guinea
- Philippines
- Ryukyu Islands
- Singapore
- Taiwan
- Thailand
- Vietnam

Africa

- Algeria
- Angola
- Botswana
- Burundi
- Cameroon
- Cape Verde Islands

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Central African Republic

Ceuta-Melilla

Chad

Congo

Dahomey

Equatorial Guinea

Ethiopia

Gabon

Gambia

Ghana

Guinea

Ivory Coast

Kenya

Lesotho

Liberia

Libya

Malagasay Republic

Malawi

Mauritania

Mauritius

Morocco

Mocambique

Niger

Nigeria

Portuguese Guinea

Rhodesia

Rwanda

Senegal

Seychelles

Sierra Leone

Somali Republic

South Africa

South West Africa

Sudan

Swaziland

Tanzania

Togo

Tunisia

Uganda

Upper Volta

Zambia

Near East-South Asia

Afghanistan

Bahrain

Bhutan

Ceylon

Cyprus

Gaza/Sinai

Greece

India

Iran

Iraq

Israel

Jordan

Jordan - West Bank

Kashmir

Kuwait

Lebanon

Maldive Islands

Muscat and Oman

Nepal

Pakistan

Saudi Arabia

Syrian Arab Republic

Trucial Sheikdoms

Turkey

United Arab Republic

Yemen

Latin America

Anguilla
Antigua
Argentina
Bahama Islands
Barbados
Bolivia
Brazil
British Honduras
Cayman Islands
Chile
Colombia
Costa Rica
Dominica
Dominican Republic
Ecuador
El Salvador
Falkland Islands
French Guiana
Grenada
Guadelope
Guatemala
Guayana
Haiti
Honduras
Jamaica
Martinique
Mexico
Montserrat
Netherlands Antilles
Nicaragua
Panama
Paraguay
Peru

Puerto Rico

St. Kitts

St. Lucia

St. Vincent

Surinam

Trinidad and Tobago

Uruguay

Venezuela

Virgin Islands

Appendix G

The Philosophy and Policy of World Neighbors

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Appendix G

The Philosophy and Policy of World Neighbors

I. THE PHILOSOPHY OF WORLD NEIGHBORS

A. The Primary Proposition

1) If the institutions of freedom--the primacy of the individual, democratic processes of government, free enterprise--are to survive, they must be seriously propagated in the "emerging nations." Therefore, to preserve these values and to extend them to others, it is crucial that the most effective methods possible be devised for such propagation.

2) While governments must take the major steps toward this end, there is also a task which can best be done by private citizens. This is the task of human relations--of changing people and situations through direct and meaningful confrontation.

B. The Basic Prerequisites

To attain the above goal, a body of workers is indicated, preferably of (1) a small cadre of technically trained and highly dedicated leaders and (2) a larger group of locally recruited and locally trained workers. These workers will then together undertake:

1) An effective system of education, responsive to felt needs, sensitive to local cultures and relevant to changing situations.

2) A program of increased food production, sufficient--beyond mere subsistence--to provide for investment or purchase. Otherwise there can be no support for industrial development, capital accumulation or such needed measures as birth control.

3) A program of industrial development emphasizing the "private sector." Most "public sector" enterprises lack the generating and regulating factors of individual incentive and personal responsibility. They are demonstrably far less likely to serve national and human needs than those established and governed by private enterprise.

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4) A widespread program of birth control, characterized by simplicity and cheapness and based upon education and persuasion. It is imperative that the program shall have "interior" sanction if it is to be continued after the "coercive" elements are removed from the scene.

5) A health program, majoring on preventive measures--water purification, inoculations, community sanitation, nutrition.

Actually, all of the above are inter-related and each facet depends for its real success upon the coordinated, and effective, development of the total program.

C. The Effective Strategy

After years of on-the-field experimentation since 1951, World Neighbors is convinced that the goals outlined above may be best reached by proceeding from "the bottom up" rather than from "the top down."

Our reasons are as follows:

1) The villager resists official "intrusion." As a result of centuries--old exploitation, his attitude toward officialdom is generally one of suspicion and withdrawal.

2) Officials tend to "talk down to"--and thus repel--the villager rather than "talk with"--and thus attract--him.

3) Finally, while the lower classes seem most apathetic, they are frequently less inhibited by cultural and religious strictures from taking positive action than their upper class compatriots.

To find "non-official" approaches to village masses is therefore a major concern.

II. THE POLICY OF WORLD NEIGHBORS

A. General Character

1) In order that we may make the greatest possible impact and receive the widest possible acceptance, we have chosen to proceed on a completely non-sectarian and non-governmental basis. This does not mean that we refuse to work with agencies

which may be denominational or governmental. We will work with such agencies provided that (a) their goals are similar to ours, (b) we retain complete autonomy of operation, and (c) the communities served are not limited by sectarian or political considerations.

2) In general, we seek to establish a complementary, rather than a competitive, relationship to the work of all service agencies, whether governmental or private.

3) And always we seek to develop the initiative of the man in the rice-paddy. On making our aid available, we deliberately begin small--for our assistance must never be of such a size or character that his contribution appears to be of little consequence. We move toward the larger goal at a pace in keeping with local understanding, desire and cooperation.

B. Pattern of Operation

1) To discover local leadership we search for leaders who have (a) come from--or are accepted by--the humbler classes of the area where a project is in prospect; (b) have gained the benefit of a western, technical education; (c) have given us sound reason to believe that they are returning to the "grass roots" to use their new skills for the benefit of their people.

2) With them and their associates, we develop a program which has in it the prospect of eventual self-support.

3) As part of that program, a budget is normally established over a five-year period in which local contribution, in goods or services, is expected to equal or exceed our own. Budget payments are made by us on a quarterly basis with a quarterly "report of progress" expected from the field.

4) While the project director is normally a qualified local national, the projects are given regular onsite inspection by the World Neighbors Vice President for Overseas Program and by Area Resident Representatives--all of whom are experienced, professionally trained Americans.

5) Individual projects are generally of a "total" community development nature. And resources are normally made available on a "revolving loan" basis. Each individual aided is thus expected to pay, in time, for such material aid as he receives. These payments then become part of a revolving fund for the establishment of new projects in the area. Such a process permits the program to continue and, above all, preserves the self-respect of the individual involved.

Source: John L. Peters, President, World Neighbors, Oklahoma City, Oklahoma, June 30, 1971.

Appendix H

Catholic Relief Services
Application/Interview Forms

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Catholic Relief Services – United States Catholic Conference
350 Fifth Avenue, New York, N.Y. 10001

APPLICATION FOR EMPLOYMENT

MR. MRS. MISS. (LAST NAME, FIRST NAME, MIDDLE NAME)			SOCIAL SECURITY NO.
LOCAL ADDRESS			TELEPHONE
PERMANENT ADDRESS (NUMBER AND STREET)	(CITY AND STATE)		TELEPHONE
MARITAL STATUS ☐ S ☐ M ☐ W ☐ D ☐ SEP.	PLACE OF BIRTH		DATE OF BIRTH
HEIGHT / WEIGHT	HAVE YOU ANY DISABILITY THAT SHOULD BE CONSIDERED IN ASSIGNING YOU TO WORK? ☐ YES ☐ NO	IF "YES" EXPLAIN	
WIFE'S MAIDEN NAME, PLACE OF BIRTH, DATE OF BIRTH			
NAMES OF CHILDREN AND DATES OF BIRTH			
NEXT OF KIN, RELATIONSHIP AND ADDRESS (IF OTHER THAN SPOUSE)			
CITIZEN OF U.S.? ☐ YES ☐ NO	IF NATURALIZED, GIVE PLACE AND DATE	NO. OF NATURALIZATION CERTIFICATE	
ARE YOU A VETERAN ☐ YES ☐ NO	DATES OF SERVICE / TYPE OF DISCHARGE	SELECTIVE SERVICE CLASSIFICATION	MEMBER OF RESERVE OR NATIONAL GUARD? ☐ YES ☐ NO
WILL YOU ACCEPT EMPLOYMENT ANY WHERE OVERSEAS? ☐ YES ☐ NO	GEOGRAPHICAL PREFERENCE	MINIMUM SALARY ACCEPTABLE	MAY WE CONSULT YOUR PRESENT EMPLOYER? ☐ YES ☐ NO
HAVE YOU BEEN UNDER MEDICAL CARE OR HOSPITALIZED IN THE LAST FIVE YEARS? IF YES, EXPLAIN.			DO YOU DRIVE A CAR? ☐ YES ☐ NO
WHAT LANGUAGES DO YOU SPEAK, READ, OR WRITE? GIVE DETAILS AND DEGREE OF PROFICIENCY IN EACH LANGUAGE.			

EDUCATION

KIND OF SCHOOL	NAME AND LOCATION	DATE ENTERED	DATE LEFT	SPECIALTY OR MAJOR SUBJECT	INDICATE NO. OF POINTS, DEGREE, OR CERTIF. OBTAINED
HIGH SCHOOL					
COLLEGE					
BUSINESS, PROFESSIONAL, OR SPECIAL TRAINING					
OTHER (SPECIFY)					

REFERENCES

List persons who are not related to you and who have definite knowledge of your qualifications and fitness for the position for which you are applying. Do not repeat names of supervisors listed under "EXPERIENCE" on the next page.

NAME OF YOUR PASTOR:	ADDRESS	
NAME	ADDRESS	
OCCUPATION	NAME OF BUSINESS OR ORGANIZATION	TELEPHONE
NAME	ADDRESS	
OCCUPATION	NAME OF BUSINESS OR ORGANIZATION	TELEPHONE
NAME	ADDRESS	
OCCUPATION	NAME OF BUSINESS OR ORGANIZATION	TELEPHONE

Give a complete record of all past employment, including military service, for at least 10 years or from date of first employment. Include all periods of unemployment of 3 months or more and explain. Begin with your present employment and work back. A supplementary statement may be attached showing training and experience (including skills and hobbies) that you believe would help qualify you for the position you seek. Experience gained more than 10 years ago that is pertinent to the work for which you are applying may be summarized in one or more of the blocks. Give telephone numbers only if in city where application is to be filed. Attach additional sheet, if required.

NAME OF EMPLOYER	ADDRESS	TELEPHONE	FROM (MO. AND YR.)	TO (MO. AND YR.)
IMMEDIATE SUPERVISOR	REASON FOR LEAVING		STARTING SALARY	FINAL SALARY
JOB TITLE AND DUTIES				

NAME OF EMPLOYER	ADDRESS	TELEPHONE	FROM (MO. AND YR.)	TO (MO. AND YR.)
IMMEDIATE SUPERVISOR	REASON FOR LEAVING		STARTING SALARY	FINAL SALARY
JOB TITLE AND DUTIES				

NAME OF EMPLOYER	ADDRESS	TELEPHONE	FROM (MO. AND YR.)	TO (MO. AND YR.)
IMMEDIATE SUPERVISOR	REASON FOR LEAVING		STARTING SALARY	FINAL SALARY
JOB TITLE AND DUTIES				

NAME OF EMPLOYER	ADDRESS	TELEPHONE	FROM (MO. AND YR.)	TO (MO. AND YR.)
IMMEDIATE SUPERVISOR	REASON FOR LEAVING		STARTING SALARY	FINAL SALARY
JOB TITLE AND DUTIES				

Do you react negatively to special climatic conditions of heat, cold, rain, mud, dust, bugs, etc.?
Yes ☐ No ☐

Have you ever been arrested, charged or held by federal, state, or other law enforcement authorities, for any violation of any federal law, state law, county or municipal law, regulation or ordinance? Do not include anything that happened before your 16th birthday. Do not include traffic violations for which a fine of $25 or less was imposed. All other charges must be included even if they were dismissed. ☐ Yes ☐ No

If the answer to either of the above questions is "Yes," attach a sheet to this application giving full details. Include all dates, locations, names, etc., and any other pertinent information.

Attach photograph here.

NOTE: Any false statements made in this application irrespective of the date of discovery, will constitute grounds for discharge "for cause."

DATE	I certify that the information given herein is true and correct to the best of my knowledge and belief.
	Signature of applicant _____

NAME AND ADDRESS OF PERSON, RESIDENT IN UNITED STATES, TO BE NOTIFIED IN EVENT OF EMERGENCY WHILE YOU ARE OVERSEAS:

SUPPLEMENTAL EMPLOYMENT INFORMATION

(To be completed by applicants for professional positions)

NAME	ADDRESS	
		ATTACH PHOTOGRAPH HERE

1. What active community, church or social interests do you have and how do you express such interests? (e.g., civic welfare, recreation, interracial, labor, etc.)

1a. Describe the most important service you have rendered to a community activity. Give dates.

2. Have you had persons working under your supervision in business, religious, social, fraternal, or military experience? If so, give particulars, including number of persons, types of positions supervised, and approximate dates.

3. Have you held any position in which you worked more or less independently and planned the use of your own time? If so, give names of position and dates held.

4. Have you held any position in which you controlled the expenditure of money? If so, what position? How much money was involved? Were accounts audited? Have you ever been bonded?

CATHOLIC RELIEF SERVICES NCWC

5. Have you had experience as a public speaker. If so, to what extent?

6. What are your favorite forms of recreation and leisure-time activities: List Hobbies.

7. Have you any business, trade, or profession you carry concurrently with your regular employment? If so, specify.

8. State any other relevant facts including more details on your work experience. Include information regarding any residence or prolonged travel abroad, giving dates, areas, purpose, etc. Also state any disabilities which might limit your field of work. Final appointment is subject to a physical examination.

Give full name of Pastor

Address:

PLEASE MAKE A CHECK MARK (✓) BY THOSE ITEMS IN WHICH YOU HAVE HAD EXPERIENCE

- ☐ WORKING WITH VOLUNTEERS
- ☐ WORKING WITH COMMITTEES
- ☐ COUNSELING INDIVIDUALS
- ☐ GIVING FINANCIAL ASSISTANCE
- ☐ KEEPING ACCURATE RECORDS
- ☐ PREPARING REPORTS
- ☐ CREATING PUBLICITY MATERIALS
- ☐ SPEAKING IN PUBLIC
- ☐ LEADING DISCUSSION GROUPS
- ☐ SUPERVISING A STAFF
- ☐ ORGANIZING GROUPS
- ☐ CONDUCTING PROGRAM ACTIVITIES
- ☐ PLANNING PROGRAM ACTIVITIES
- ☐ WORKING WITH COMMUNITY GROUPS
- ☐ WORKING WITH BUDGETS
- ☐ RAISING FUNDS
- ☐ DIRECTING CAMPAIGNS
- ☐ MAKING STATISTICAL STUDIES
- ☐ GIVING CASEWORK SERVICES
- ☐ ACTING AS A LIAISON WITH THE MILITARY
- ☐ ASSISTING WITH IN-SERVICE TRAINING

LIST ANY OTHER.

DATE	SIGNATURE

INTERVIEW CHECK SHEET

Name of Applicant:_____

EXPERIENCE:

1) Tell about yourself: where raised - schools - jobs held.
2) What do you feel are your strong points? Weak points?
3) Handle people.
4) Handle money.
5) Example of leadership.
6) Example of organizing.
7) Example of administration.
8) Volunteer work: community - school - church - other?
9) Languages. Speak 3 minutes.

PERSONAL:

1) Military status.
2) Marital status/plans.
3) Religious upbringing/present practice.
4) Grooming.
5) Posture.
6) Poise.
7) Grammar.
8) Self-expression.
9) Personal impression.

HEALTH:

1) Illnesses last 5 years?
2) Chronic illnesses.
3) Allergies.
4) Drinking habits?
5) Drugs?

INFORMATION (to be given to Applicant):

1) Salary (starting and adjustments).
2) Allowances.
3) Personnel policies.
4) Leave.
5) Shipment of effects.
6) Insurance.
7) Tax exemption.
8) Retirement plan.

Decision of Interviewer: Hire ( ) Do not hire ( ) Defer decision ( )

Comments of Interviewer: (Use reverse side if necessary):

_____

_____

_____

Date:_____
Place:_____

_____
(Interviewer)

ICS/Feb 1971/1M

NAME OF APPLICANT: _____

INTERVIEW RATING OF PERSONAL CHARACTERISTICS

GROOMING	POSTURE	POISE	GRAMMAR	EXPRESSION	PERSONAL IMPRESSIONS
Extremely Neglectful	Ungainly	Agitated	Very Poor	Very Over-Responsive, Irrelevant	Rude, Unpleasant Mannerisms
Somewhat Disorderly	Slightly Slumping or Awkward	Somewhat Nervous	Frequent Errors	Answers Questions Inadequately; Gropes for Words	Slightly Irritating
Fairly Orderly and Neat	Somewhat Stiff	Fairly Well Composed	Fair, Occasional Mistakes	Speaks Fairly Well, but Sometimes at a Loss for Words	Makes Routine Impression; No Particular Objectionable Outward Features
Satisfactorily Neat and Tidy	Reasonably Erect and Well Balanced	Calm and Composed	Good	Speaks Up Readily and Easily	Overall Impression Pleasing
Very Careful of Appearance	Erect and Well Balanced	Wholly at Ease and Self-Possessed	Excellent, Good Vocabulary	Expresses Himself Well; Makes his Ideas and Wants known	Unusually Pleasing

(PLEASE CHECK ONE RATING IN EACH COLUMN)

Additional Comments:

Should we make job offer?
( ) Yes ( ) No

_____ (Date of Interview)

_____ (Interviewer)

Pers. # I.C.

INQUIRY/APPLICATION CHECK SHEET

	DONE BY	DATE SENT/ REQUESTED	DATE RECEIVED	COMMENTS - NOTES (List Enclosures Sent
1) Inquiry:				
Dead File Checked				
	By			
Inactive File Checked				
	By			
Acknowledged				
	By			
2) Application				
	By			
3) References:				
a) Pastor				
b) Priest				
c) Others				
4) School Transcript:				
5) Interviews by CRS Staff:				
	By		(Date)	
	By		(Date)	
	By		(Date)	
6) Decision:				
a) Hire				
	By			
b) Do not Hire				
	By			
c) Defer Decision				
	By			
d) Other				
	By			

JOB OFFER CHECK SHEET

NAME OF APPLICANT: _____

ASSIGNMENT: _____

	DATE SENT	DATE RECEIVED	COMMENTS
1) Job offered, Send Agreement in Duplicate			
2) Job offer Accepted (Signed Agreement)			
3) Acknowledgment of Acceptance			
4) Send Passport Appl., INOP, Personnel Manual, Health History & Medical Record, Pg. 2 of Manual			
5) Send Post Report			
6) Notice re: Date of Orientation			
7) Security Forms (VIETNAM ONLY) Forms 57, 86 & FD 258			
8) Visa Application			
9) Date of Departure			
10) Check for Travel Expenses - $25			
11) Travel Schedule			
12) Hotel Reservation (24 Hour Stopover)			
13) Copy of Personal Data for Regional and/or Program Director			
14) Brochure on Major Medical and Beneficiary Card			
15) INA Beneficiary Card (War Ins. if needed)			
16) Bankers Trust Co. Signature Cards plus Memo			
17) Federal Withholding Form - W4			
18) Payroll Order			
19) Advise Insurance Co. Agent of Date of Enrollment			

Appendix I

CARE Project Proposal Format

Self-Help Project Proposal (with sample outline)

Prepared by_____ Letter No._____

Approved by_____ Date_____

Project Title_____

_____

Category of Project_____

Reference (Related Previous or Current Projects)_____

Attachments_____

Project Proposal should be completed in outline form using the following headings:

I. General Description of Project

II. Objectives

III. Project Background and Justification

IV. Project Implementation and Administration

V. Materials, Specifications, Remittances, Cost

I. General Description of Project

II. Objectives

A. Primary and Secondary objectives of project. Relate as applicable to increases in production, additions to capital resources, changes in attitudes, knowledge, or skills, changes in social conditions, the involvement and development of local leadership, community organization, or new local institutions.

B. Extent to which project will stimulate permanent improvement.

III. Project Background and Justification

A. Background information about area or community and beneficiaries.

B. Specific economic and social conditions leading to project and justification by relating project's objectives to needs of the area or community and to CARE self-help criteria.

C. Origin and Endorsement of Project.

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D. Communication of Project's Objectives and Plan of Implementation to Beneficiaries.

E. Existing Related Programs.

F. Obstacles Anticipated: Summarize the factors that operate for and against the project. Indicate features in the design of the project that may counter negative factors.

G. Training Projects (To be completed only for training projects)

Discuss number of students enrolled in the training course, potential enrollment, length of training course and number of hours, who devised training course, other training the students receive or will receive, number and professional status of instructors, level of competence at which training course aims, prospects trainees will have of using their skills upon graduation, availability of jobs in the local market or elsewhere, accessibility of graduates to equipment similar to that used in the training course, who administers and supports school or training institution.

IV. Project Implementation and Administration

A. Operational Plan (outline of steps necessary to implement and complete the project)

B. Project Supervision

C. Counterpart Contribution: Discuss beneficiaries contribution in terms of labor, materials, cash, land, buildings, or other facilities, organization and leadership.

D. Other Sources of Administrative and Technical Support.

E. Use and Supervision of Equipment.

F. Mission Control: Discuss mission follow-up procedures, i.e., site visitation, beneficiary reporting, etc.

G. CARE Identification.

V. Materials, Specifications, Remittances, Cost

A. Materials Requested and Specifications.

B. Maintenance and Spare Parts: Describe availability of spare parts and servicing for equipment.

C. Total Dollar Value of Project (or Cost Limit)

D. Project/Value Beneficiary Ratio (estimated per capita cost):

   Divide estimated project costs by the number of direct and indirect beneficiaries and, if applicable, by the life expectancy of the project.

E. Remittances on Hand.

F. Inventory Position.

G. Timing: When should equipment be available? Discuss seasonal or other factors which bear upon the implementation of the project.

Source: CARE, Inc., New York, March 1971.

Appendix J

Catholic Relief Services
Project Application Guide

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1.0 IDENTIFICATION OF PROJECT

1.1 Project Number:

1.2 Project Title:

1.3 Applicant's

Name:

Functional Title:

Full address:

1.4 Person legally responsible for project in accordance with local laws:

Name:

Address:

1.5 Person or Agency responsible for administration and implementation of project:

Name:

Address:

1.6 Project location (including map, if available, with project site marked):

Country:

Administrative District:

Province or State:

Town - Locality:

2.0 FINANCING OF THE PROJECT

2.1 Total cost of project in national currency and in U.S. dollars:

2.2 Describe the anticipated cost contingency factor due to inflation, variation of exchange rates and other variable cost factors:

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PROJECT NUMBER _____

2.3 Amount requested:

(a) As a grant:
(state in US dollars)

(b) As a loan:
(state in US dollars)

2.4 Phasing of Payments

Date	Amount (in US dollars)

2.5 Project support sought from various sources:

(a) From private organization(s):

Name(s):

Sum applied for:
(in US dollars)

Sum granted:
(in US dollars)

Other support items:

(b) From national - provincial - municipal - government sources:

Name(s):

Sum applied for:
(in US dollars)

Sum granted:
(in US dollars)

Other support items:

(c) From foreign governmental or intergovernmental sources:

Name(s):

Sum applied for:
(in US dollars)

Other support items:

(d) Describe amount in cash, kind, manpower and other, to be contributed locally:

from applicant organization:

from local groups or persons:

other:

3.0 PROJECT HISTORY

3.1 General description of social and economic situation of area in which project is located:

3.2 Describe if this project is part of a larger socio-economic program:

3.3 If project is continuation of successful project, cite previous support:

(a) Source(s) and support:

(b) Received in cash, kind and other support items:

PROJECT NUMBER _____

4.0 MAJOR PROJECT ELEMENTS

4.1 Justification of project:
(If this space is insufficient for description of project and implementation, attach further details on a separate sheet(s), indicating project title and number.)

4.2 Long and short term results to be achieved:

4.3 Describe how continuation of the project will be assured:

4.4 Reporting:

5.0 AUTHENTIFICATION

Date of application:

Signature:

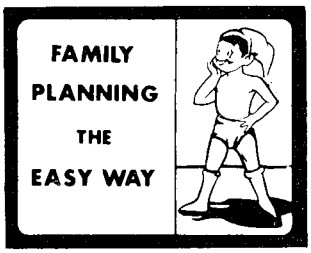
Type Name:

Title:

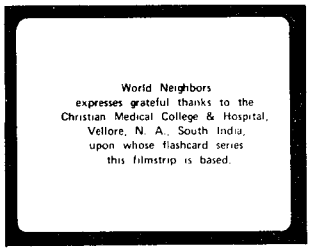
Source: Catholic Relief Services - U.S.C.C. Manual for Socio-Economic Development. New York: Catholic Relief Services, June 1971, Appendix 1, pp. 5-9.

Appendix K

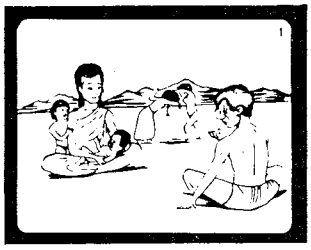
World Neighbors Filmstrip:
Family Planning the Easy Way



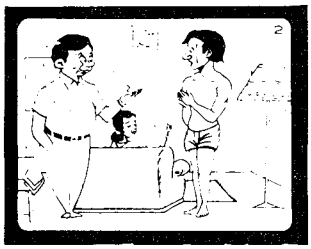
FAMILY PLANNING THE EASY WAY



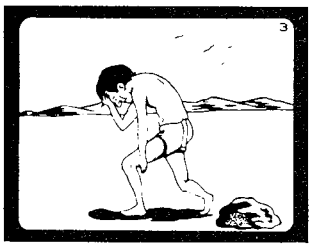
Credit slide



1. Ramu was a farmer. He owned a small piece of land but it was not enough to give his family the things they needed. Often the crops were not good, and the family went hungry. Added to this was another problem – every year a child was born. Ramu's wife got weaker with each child – now she was too weak to care for her children or work. The children were not healthy. One day Ramu comforted his sick wife saying, "Don't lose hope. You know we have a rich cousin who lives in_____" (Give name of nearest large city) "He will surely help us get food for our children. I will go tell him about our difficulties."



2. Ramu's cousin Gopal lived with his wife in a well furnished house and had plenty of money. Even with their wealth, they were unhappy because they had not been able to have children. Gopal greeted Ramu rudely, "Why have you come? " Ramu replied "For the past days there has been no food in my house, my children are sick and may die if they don't get some food." Before Gopal could answer, his wife scolded, "It is their own fault for having so many children – they knew that they could not provide for them. Don't give anything or he will always be coming back and bothering us." She was jealous of Ramu and his wife's children.



3. Ramu retraced his footsteps with disappointment and despair. What could he tell his wife? How could they bear to watch their own children die of hunger? What could they do? As Ramu was walking along thinking about his problem, he suddenly noticed a saintly figure walking towards him.

4. The Sadhu had a friendly smile and spoke with kind words. "My son! I see that you are burdened with sorrow and weak with hunger. Here is a piece of cake – take and eat it." Because he was so kind, Ramu told him about his difficulties while he ate the cake. The Sadhu listened sympathetically and said, "Look, see the forest? Go there and search and you will find a cave of dwarfs. They have a magic mortar. If you can get it, all your worries and troubles will be over. The magic mortar will grant anything your heart can desire." Ramu thanked the kind holy man and went into the forest.

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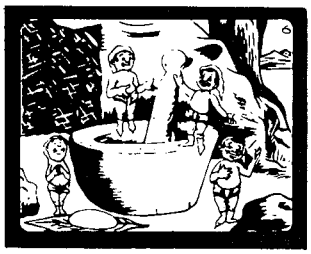
5. As Ramu neared the entrance of the cave of the dwarfs, he saw that the dwarfs were in trouble. One had been caught under a log, and it was too heavy for the others to move. Ramu removed the log and saved the dwarf. The dwarfs praised and admired Ramu for this and asked to do something in return. After telling about his difficulties, Ramu asked for the magic mortar to solve them.



6. The dwarfs thought Ramu was a good man, worthy of a good life, so they agreed to let him take the mortar. They taught him how it worked. "If the pestle is moved to the right, it will grant your wish – anything you ask. If it is moved to the left, it will stop." The dwarfs gave Ramu the mortar and wished him a good life.

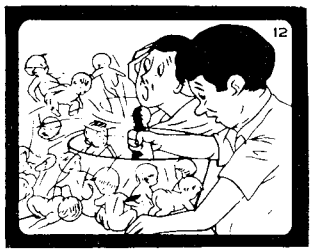
7. Ramu took the mortar home to his wife. The first thing they asked for was food. They turned the magic pestle to the right. Food, food, everywhere! Ramu and his wife could hardly believe their eyes.

8. After feeding their children and themselves, Ramu and his wife asked for a new house and a farm with good land. They asked for cows, goats, chickens, and a garden with fruit trees and vegetables. Every wish was granted, so they became quite rich. They were happy and decided to have a party to share their good life with all their friends. They also invited Gopal and his wife, their cousins in the city.

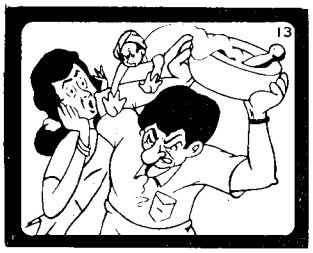
9. When Gopal and his wife received the invitation they were surprised. How had their poor cousin become so rich with his small farm and many children? They went to the party to try and find out. When Gopal and his wife saw the wealth of Ramu, they became even more jealous. Now Ramu had wealth as well as children. Gopal instructed his wife to try her best to get the secret from Ramu's wife. As instructed by her husband, Gopal's wife became very friendly with Ramu's wife. She praised her for the wonderful party, for their new house, and for their children. She talked and talked until Ramu's wife told her about the magic mortar.

10. That night while everyone slept, Gopal and his wife quietly stole the mortar and took it back with them to their home in the city, Gopal's wife told him that all he had to do was turn the pestle and any wish would be granted.

11. Since Gopal and his wife had not been able to have children – their first wish was for a child. As Gopal turned the pestle, they were so happy – now they could have as many children as they wanted – one, two ...



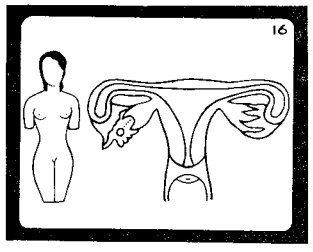
12. The children kept coming! Neither Gopal nor his wife knew how to stop the mortar! Soon the house was full of children – they were everywhere! What would Gopal and his wife do now? They both decided that this was no way to produce children – they decided that they must have only as many children as they wanted and knew they could support. At this rate, even their wealth would become poverty.



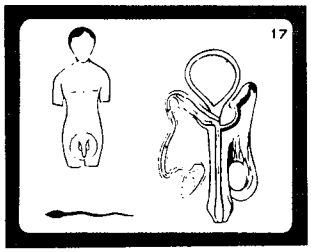
13. Since the children kept coming, Gopal, in desperation, grabbed the mortar and raised it to smash it against the floor. Suddenly a little Genie appeared calling, "Stop! Stop! Listen to me! Don't break the mortar. That will not solve the problem. I will tell you how you can have only the number of children you want to have."

14. With a whisk of his hand, the Genie made all the babies vanish except one. "Your wife will have a baby each year from now on if you do not find some way to stop them." said the Genie. "It is your responsibility, but I will tell you some ways to stop. Here is a loop, it is one of the ways I will mention." With those words, the Genie and magic mortar vanished. His voice remained, however, and he explained, "Now you are in the same position as everyone else in the world. You have no magic mortar or special powers, but you can still have children by choice instead of chance. All you need is a little advice from the Family Planning Clinic."

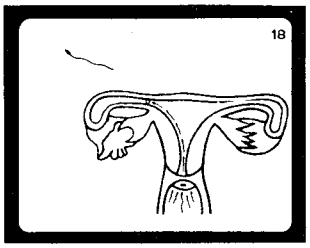
15. Any couple who could like to plan their children should go to the nearest Family Planning Clinic. If they do not know where to go – they can ask the leaders in their village or community, or they can ask any doctor or nurse where to go for family planning service. There are several ways to stop having children, and the people from the Family Planning Clinic will explain each way so that you can choose the one you like best.



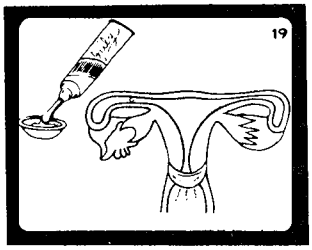
16. Before using any of the ways to stop having children, the wise person should know a little more about how children are born. Just as a chicken or bird lays an egg, a woman produces an egg – but the woman keeps the egg inside her body. The woman's egg is very small, and cannot be seen. It has been made large here to show where it comes from. The woman produces one egg each month. When the egg comes out of its sac, it starts to move down a tube toward the womb.



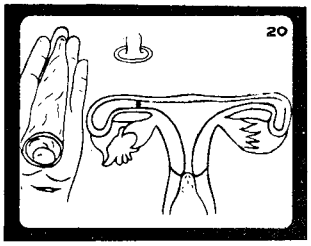
17. The man produces seed for the egg in his testis (use colloquial word common in area). These seeds are very small. They have an oval head and a long tail so they can move by swimming. They are called "sperm". They also travel down a tube, and leave the man through the penis (use colloquial word common in area) during the sex act. Millions of the seed leave the man at one time.



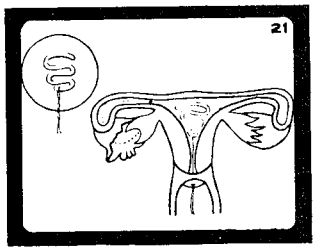
18. If a seed from the man meets the egg while it is in the tube of the woman, the egg will stick in the womb and grow into a baby. If the egg does not meet a seed from the man while it is in the tube, it will be passed out of the woman as waste with the next mensus. Only one seed is needed to make a baby start to grow. If you keep the seed from meeting the egg, a baby cannot grow. There are several ways to keep the man's seed from reaching the woman's egg. These are called "family planning methods".



19. One of these family planning methods is the diaphragm. The diaphragm is for the woman. It is a soft rubber cover that fits over the outside opening to the womb. Since this opening is not always the same size in every woman, the cover must be fitted by a doctor. The doctor will also show a woman how to use the diaphragm. A cream must be used with the diaphragm to keep any seed that may have slipped past the diaphragm from meeting the egg. Many women are happy with the diaphragm, but it is not available everywhere.

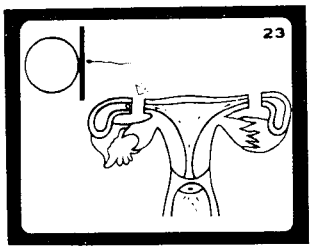


20. Another method of family planning is the condom. It is a thin rubber cover that is placed on the penis of the man. The condom is put on the penis just before the sex act. The seed are all trapped in the condom, so they cannot get into the woman or meet the egg. The rubber of the condom is very thin, so it can break or split; however, if some cream, saliva or water is put on the outside of the condom, it will prevent breakage. The air inside the tip should be removed by pressing the tip together while the condom is being rolled into place. The condom is very effective and very easy to use. Many couples use the condom to limit their number of children.

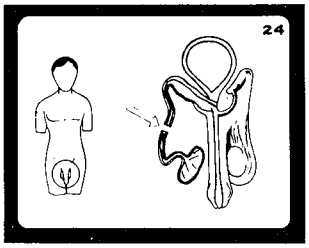


21. Still another method of family planning is the loop. It is a small piece of plastic that is put into the womb of the woman. While the loop is in the woman's womb a baby will not grow -- even if the egg and seed meet. When the loop is taken out of the womb, a baby can grow there again. When the loop is new in the womb, there may be a small amount of bleeding and maybe a minor pain, but when the loop has been inside the womb for a few days, the mensus of the woman will come as usual, and the pain will go away. Many women like to use the loop to space and limit their number of children.

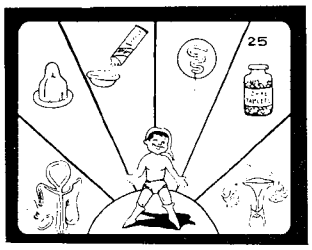
22. And still another method of family planning is a pill for the woman. If a woman takes this pill, a baby cannot grow. When the woman stops taking the pill she can produce children again. A doctor tells when to take the first pill. After that, the woman must take one pill a day – every day – at the same time of day. It is best to take the pill in the morning, just after waking up. The woman cannot miss taking the pill even one day. These pills are very good for limiting children, but are not available everywhere. Your doctor can tell you if they are available where you live.



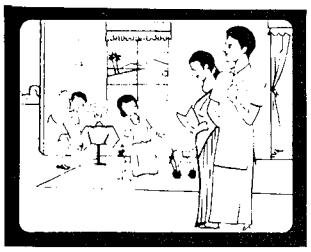
23. One permanent method of family planning is an operation for the woman. Since this is permanent, the family must be sure that they have all the children they will ever want. The operation is very simple, but the woman must stay in a hospital several days afterwards to be sure that the small incision in her stomach will heal properly. In the operation, the doctor ties the tubes which carry the egg, so it can never meet the man's seed. The operation neither increases nor decreases the sexual feelings of the woman, but she should not attempt the sex act until her incision is completely healed.



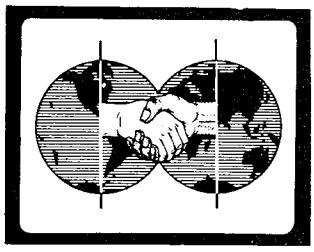
24. Another permanent family planning method is an operation for the man of a family. During this operation, the doctor ties the tubes which the man's seeds travel through, so they cannot reach the woman or the egg. The incision in the skin of the scrotum is very small. The man does not have to stay in the hospital, but should not lift heavy objects or ride a bicycle for a week or so. This operation is not the same as the castration operation given to animals – the sexual feelings of the man are the same after the operation as they were before. The man must use some other family planning method for the six weeks or so after the operation. Most men use the condom.



25. And so the Genie finished telling about the methods of limiting the number of children in a family. For men, he told about the condom and an operation. The women have a wider choice. They can use a diaphragm and jelly, have a loop put into their womb, take pills, or have an operation. Which method do you like?



26. The method you use is your own choice, but it is your responsibility to limit the number of children you have only to the number you want. It is your responsibility to have only as many children as you can support and educate. It is easy to choose the number of children you want, and then to have these children when you want them. Which method will you use to do it?



27. End slide

Source: World Neighbors, Oklahoma City, June 29, 1971.

Appendix L

World Neighbors
Staff Evaluation Form

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WORLD NEIGHBORS
STAFF EVALUATION FORM

_____ For the six-month period _____
EVALUATOR ending_____ NAME

_____
TITLE

I N S T R U C T I O N S

On this form evaluate the employee mentioned above. Evaluate him or her for the above six-month period only.

In filling up the sheet you should check (with an X) all those items which properly describe the employee. DO NOT GUESS. If you are not sure that the employee possesses the trait indicated, DO NOT check the item at all.

It is not necessary to check any particular item or number of items. For one employee you may check as many as 25 items. For another employee it may be difficult to find 12 items which describe him properly. Keep your X's within the square. DO NOT change the wording of any item.

How many days was the employee absent during this period:

(a) For sickness, with pay ..... _____ days
(b) For sickness, without pay ..... _____ days
(c) For personal reasons ..... _____ days
(d) How many times absent without leave _____ times

In these boxes consider not only punctuality but also promptness in carrying out orders and other assigned work.	
☐ Nearly always late ☐ Usually late ☐ Often late (about half the time) ☐ Usually punctual ☐ Never, or hardly ever late	Check one item only, if any

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- ☐ Nearly always quits ahead of time
- ☐ Usually quits ahead of time
- ☐ Often quits ahead of time
- ☐ Watches clock too much
- ☐ Seldom quits ahead of time
- ☐ Never quits ahead of time

Check one item only, if any

DIRECTIONS: Place an X mark next to the items on this page which you know from your knowledge will describe or fit this individual. DO NOT GUESS. Check only items of which you are reasonably sure.

- ☐ Lazy
- ☐ Slow Moving
- ☐ Quick & Active
- ☐ Too old for the work
- ☐ Minor physical defects
- ☐ Serious physical defects
- ☐ Lacks dedication to the work
- ☐ Lacks initiative
- ☐ Too blunt or outspoken
- ☐ Too much self importance
- ☐ Good team worker
- ☐ Not a good team worker
- ☐ Resents criticism or suggestions
- ☐ Antagonizes others too often
- ☐ Needs to be more considerate
- ☐ Usually pleasant & cheerful
- ☐ Exceptionally polite & courteous
- ☐ Lacks necessary physical endurance
- ☐ Often seems dissatisfied
- ☐ Often grumbling or complaining
- ☐ Uses poor judgement
- ☐ Should use better judgement more often
- ☐ Usually uses good judgement
- ☐ Always uses good judgement

Check one item only, if any

- ☐ Does not do fair share of work

- ☐ Generally looks for the easy work
- ☐ Must generally be told what to do
- ☐ Work often slightly behind
- ☐ Often needs prodding
- ☐ Work always up to date
- ☐ Produces more work than expected
- ☐ Steady worker most of the time
- ☐ Keeps good records
- ☐ Does not accept responsibility
- ☐ Accepts responsibility
- ☐ Does not always obey orders willingly
- ☐ Fails to keep up on new techniques and ideas
- ☐ Needs considerable amount of supervision
- ☐ Works well without supervision
- ☐ Seldom or never loses temper
- ☐ Loses temper easily
- ☐ Easily upset or rattled
- ☐ Lacks self confidence
- ☐ Too easy going
- ☐ Learns new work slowly
- ☐ Learns new work quickly & easily
- ☐ Understands instructions readily
- ☐ A willing worker at all times
- ☐ Takes unusual interest in work
- ☐ Should be more orderly
- ☐ Very orderly and systematic
- ☐ Often forgetful
- ☐ Often does careless work
- ☐ Makes many mistakes
- ☐ Usually accurate
- ☐ Seldom ever makes a mistake
- ☐ Accurate but too deliberate
- ☐ Is highly expert in work

Check one item only, if any

Check one item only, if any

- ☐ Not generally reliable or dependable
- ☐ Usually reliable or dependable
- ☐ Always reliable or dependable
- ☐ Usually neat personal appearance
- ☐ Usually careless of personal appearance
- ☐ Takes too long to accomplish tasks
- ☐ Accomplishes tasks in a reasonable time
- ☐ Inspires rural folks in their daily lives
- ☐ Very tactful in dealing with others
- ☐ Poor technical training for the work
- ☐ Good technical training for the work
- ☐ Holds views too strongly
- ☐ Often assigned to other important work
- ☐ Tries new things or finds better way of doing work
- ☐ Sometimes throws a temper tantrum
- ☐ Drink is one of his principal failings

- ☐ Develops few volunteers
- ☐ Fails to train his subordinates in new skills
- ☐ Makes poor rapport with community leaders
- ☐ Activities and projects among the best
- ☐ Develops hundreds of volunteers
- ☐ Fails to stay within the budget
- ☐ Keeps up a fine home base

- ☐ Unusual ability in planning and laying out work, good organizer
- ☐ Makes good written reports
- ☐ Does not plan or layout work effectively
- ☐ Makes quick accurate decisions
- ☐ Plans work well, but lacks snap in getting it done
- ☐ Exceptionally skillful in handling difficult situations
- ☐ Willing worker but not a leader
- ☐ Too lenient in maintaining discipline
- ☐ Maintains good discipline

In the following spaces you may add such other items of your own as you believe will further describe this individual.

☐	
☐	
☐	
☐	
☐	
R E M A R K S	

Source: World Neighbors, Oklahoma City, June 29, 1971.

Appendix M

Agricultural Cooperative Development International
Cooperative Institutional Development Profile

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PROGRAM _____ DATE _____

COOPERATIVE INSTITUTIONAL DEVELOPMENT PROFILE

	1970					1971					1972				
	E	G	S	P	U	E	G	S	P	U	E	G	S	P	U
GOVERNMENT POLICY															
1. Has a clear government policy been declared?															
2. Is there a clear committment to the policy?															
3. Is the policy understood and accepted by the institutional leadership?															
4. Is the policy related to needs of the institution?															
5. Has the policy been legitimized by other "publics" or departments, agencies?															
6. Is the policy articulated by national leaders?															
7. Does the policy provide for distribution of benefits widely?															
8. To what extent are members involved in policy formulation?															
PROGRAM ANALYSIS															
1. Have definite program objectives been established?															
2. Have priorities within the program been agreed upon?															
3. Is there present financial and policy support for program implementation?															
4. Are there present procedures for program modification and adjustment?															
INSTITUTIONAL STRUCTURE															
1. What is the degree of dependency on outside resources by the institution?															

CODE: E=Excellent; G=Good; S=Satisfactory; P=Poor; U=Unsatisfactory

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INSTITUTIONAL STRUCTURE (con't.)

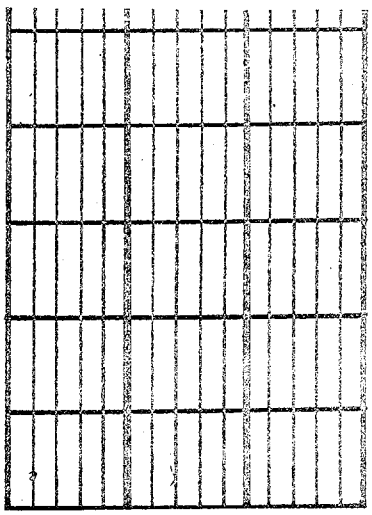
2. To what degree is the institution developing its own indigenous survival characteristics?

3. Extent to which personnel and programs are judged to serve accepted or emerging goals.

4. Extent to which action and belief patterns permeate the institution.

5. Degree of freedom institution has in implementing its program.

6. Capacity to innovate.



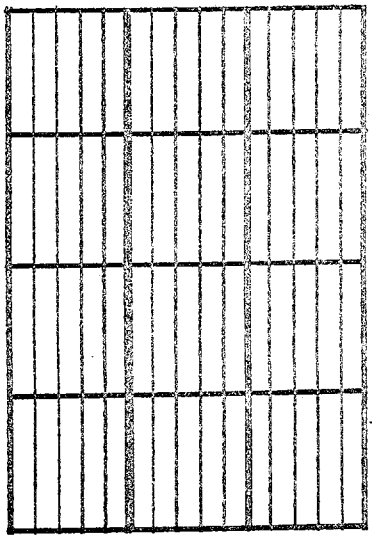
INSTITUTIONAL LINKAGES

1. Extent to which institution is linked favorably with other agencies and groups in the control of personnel, authority, resources.

2. Extent of favorable linkages with other agencies with complementary services.

3. Extent institution enjoys linkages with agencies, etc. which supply inputs and use outputs.

4. Extent institution enjoys linkages with elements of society not identified and not served by institution.

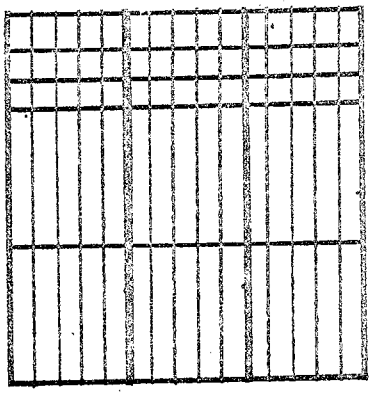


MEASUREMENT OF ECONOMIC VIABILITY

1. Annual Growth
   a. In membership
   b. Volume of business transacted
   c. In member capital

2. Efficiency - i.e. trend in operating cost as a percent of volume.

3. Estimated percent of trading area market volume.



MEASUREMENT OF ECONOMIC VIABILITY (con't.)

1970 1971 1972
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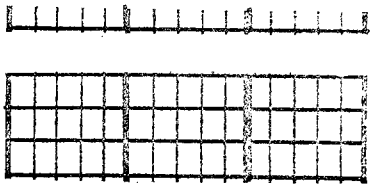
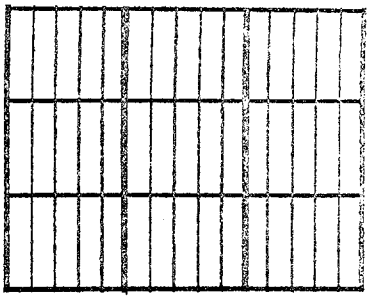


4. Net Savings
   a. as a percent of equity capital
   b. as a percent of total capital
   c. as a percent of volume

ADMINISTRATION PROFILE

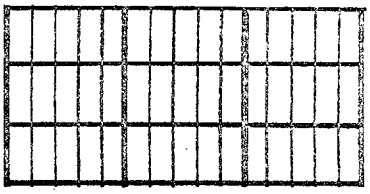
ADMINISTRATIVE CAPACITY

NATIONAL PLANNING



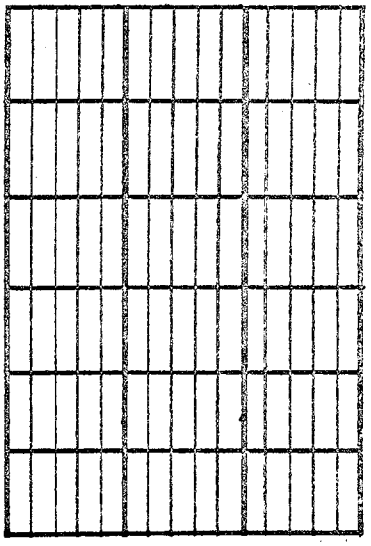
1. What is the status of the project within priorities of national planning?
2. What is the priority status of the project within the ministry?
3. What is the priority status of the project within USAID?

NATIONAL FINANCIAL CAPABILITY



1. Ability of the country to support financially.
2. Willingness of the treasury to commit funds.
3. Capability of prompt financial implementation.

NATIONAL PLANNING



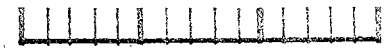
1. To what extent does manpower allocation follow general priority planning?
2. Adequacy of manpower available to project.
3. Capacity of personnel systems to recruit and train adequate personnel.

NATIONAL LOGISTIC SUPPORT

1. Availability of material resources as needed.
2. To what extent does program make utilization of resources?

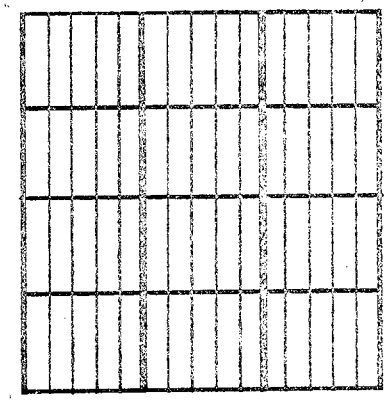
MANAGEMENT PROFILE

1970 1971 1972
E G S P U E G S P U E G S P U



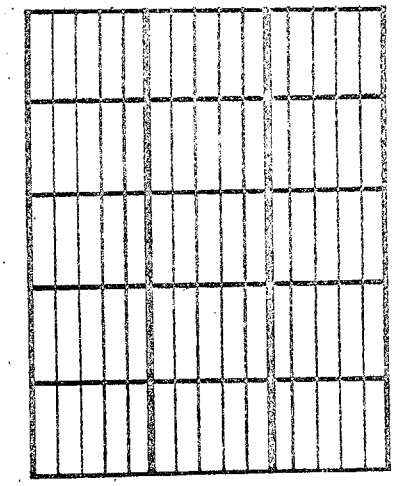
MANAGERIAL CAPACITY

MANAGEMENT OBJECTIVES



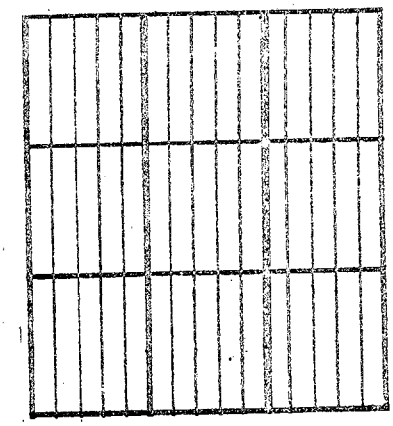
1. To what extent are objectives established within project?
2. How well does management relate to its policy board or boards?
3. To what extent are objectives supported by lay leaders and members?
4. To what extent are project objectives and those of the government compatible?

MEASUREMENT AND CONTROL



1. Present reporting system on project progress.
2. Degree of interest in government in evaluation of progress.
3. Follow-up as result of evaluation by responsible agencies.
4. Capacity to re-direct objectives when required.
5. How well are members in touch with financial and policy matters?

INFORMATION



1. To what extent is the public aware of the program and progress?
2. To what extent does the program enjoy good press and radio coverage?
3. To what extent are members and patrons kept informed of the business and policy issues of the organization?

Source: Agricultural Cooperative Development International, Washington, D. C., June 7, 1971.

Appendix N

CARE
Self-Help Progress Report Format (with Sample Outline)

Self-Help Progress Report Format (with sample outline)

(To be submitted within 8 months of the issue date of the Action Form)

Prepared by_____Letter No._____

Approved by_____Date_____

Project Title and No._____

_____Approval No._____Date_____

Category of Project_____

References_____

Attachments_____

Progress Reports should be completed in outline form using the following headings:

I. Operational Status of Report II. Comments

A. CARE equipment
B. Project implementation to date
C. Project modification if any

I. Operational Status of Project

A. CARE Equipment:

(1) Date received by Mission_____ (2) Date Distributed_____

B. Project Implementation to date

(1) Is the project being implemented according to the original project proposal? If not, explain noting delays in the delivery or availability of contributions (materials, funds, or personnel) from other sources that are essential to the project, or other factors preventing project implementation.

(2) Has a donor report been completed? If not, explain and give date when Mission expects to prepare it.

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C. Project Modification

If it has become necessary to modify the project, describe and explain the reasons for any important changes in objectives, administration, location, participation of beneficiaries, materials required and timing.

II. Comments

Include any comments, recommendations, photographs, or other information which are important to the understanding of, or will illustrate the status of this project.

Source: CARE, Inc., New York, March 9, 1971.

Appendix O

Catholic Relief Services
Project Progress Report Format

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PROJECT PROGRESS REPORT NO. ( )

Date of last report:

1. REFERENCE SECTION

CRS Project No. Amount

Name of Operating Agency

Title of Project

Country in which project is located

Funding Agency Code Number

2. EXPENDITURE

(i) Amount of Grant

(ii) Amount received to date (if paid in installments)

(iii) Date of last transmittal

* (See below)

Preceding page blank

(iv) Balance received and so far unused

(v) Itemised expenditure to date

(vi) Other inputs which contributed to success of project

** (See below)

3. PROGRESS OF PROJECT

4. PROJECT EVALUATION (long and short term results)

Signature

Date

Title

* In this box you normally insert the date of CRS/Geneva "Notice of Transmittal" Form or CRS/New York "Notice of Deposit" Form as the case may be, or whichever is the latest. (This note should not be reproduced on the form mimeographed locally.)

**Section 2.5 of Project Presentation Guide refers.

Source: Catholic Relief Services - U.S.C.C. Manual for Socio-Economic Development. New York: Catholic Relief Services, June 1971.

Appendix P

CARE
Self-Help Evaluation Report Format (with Sample Outline)

Self-Help Evaluation Report Format (with Sample Outline)

Prepared By_____Letter No._____

Approved By_____Date_____

Project Title and No._____

_____

Category of Project_____

Approval No._____Date_____

References_____

Attachments_____

I. GENERAL

1. Total Number of Recipient Locations_____2. Number Visited by CARE_____

3. Have Beneficiaries made written or other reports to Mission on progress of Project?_____4. Number of locations reporting_____

5. Date equipment received in Mission_____

6. Date equipment distributed_____

7. Date project initiated_____8. Date project completed_____

9. Project/Value Beneficiary Ratio:

   a. Total Dollar Value CARE material_____

   b. Number of direct and indirect beneficiaries_____

   c. Expected time span of project_____

   d. Per Capita Dollar Value (a divided by b divided by c = d)_____

10. Has Donor Report been completed?_____If not, explain and give expected date of completion_____

_____

Evaluation Report should be completed in outline form using the following headings:

II. Project Results
III. Project Implementation
IV. Training Projects Only
V. Comments

Preceding page blank

II. Project Results

A. Objectives Achieved to DATE

(1) In terms of the stated objective of the project, describe the results achieved. Relate them as applicable to increases in production or other changes in economic additions to capital resources, cahnges in attitudes, knowledge, or skills, and changes in social conditions.

(2) Discuss the involvement and development of local leadership and community organization. Analyze the impact of the project on local leadership and community organization.

a. What kinds of local leaders supported the project?

b. Has the project stimulated the growth of local leadership, rise of new community leaders, or improvements in community organization?

c. Discuss capability of community to identify and deal with community problems, and whether there is a growing awareness of how to mobilize community and outside resources.

Discuss any additional activities or responsibilities undertaken by beneficiaries or other persons involved in the project.

B. Impact

(1) Diffusion of influence

Discuss stimulation of similar developments in communities or areas outside locale of the project.

(2) Multiplier Effect

Discuss generation of different kind of developmental activities in the project locale or in communities in other locations.

(3) Describe any unanticipated desirable or undesirable side effects that may be attributed to the project.

III. Project Implementation

A. Operation of the Project (Discuss as to)

1. Counterpart Contribution of beneficiaries
2. Project supervision
3. Technical support
4. Other factors that contributed to the success or failure of the project

B. If phased project, discuss phases completed and current phase

C. Problems encountered

D. Project modifications if any

E. Utilization and condition of CARE contribution of equipment

F. Effectiveness of communication techniques

G. Beneficiaries awareness of CARE contribution

IV. Training Projects (Only if Applicable) Discuss how many people have received training to date, the level of competence achieved by the training project, the actual use to which the trainees have put or can be expected to put their use, and whether job opportunities are materializing as anticipated.

V. Comments

Source: CARE, Inc., New York, March 9, 1971.

Appendix Q

Catholic Relief Services
Socio-Economic Evaluation and Project Recommendation Forms

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SOCIO-ECONOMIC PROJECT EVALUATION FORM

GENERAL SECTION

I. TYPE OF EVALUATION

A. This is an evaluation of:

A new project application .....

An approved and funded project .....

A preliminary visit .....

Other (specify) .....

B. Evaluated by ..... Date .....

II. IDENTIFICATION

A. Project Number India .....

B. Name of sponsoring organisation .....

.....

C. Address .....

P.O. ..... Taluk .....

District ..... State .....

Diocese ..... Archdiocese .....

D. Name of responsible person .....

E. Name of primary person interviewed .....

F. Type of project:

1. Agriculture .....
2. Education .....

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3. Housing .....
4. Credit Union .....
5. Restorative Health (Hospital, Clinics) .....
6. Public Health .....
7. Cottage Industry, Employment .....
8. Other (specify) .....

G. Short résumé of project .....

.....

.....

.....

H. Other comments .....

.....

.....

III. CRS STATUS OF PROJECT

A. Why project evaluated:

1. Routine field trip .....
2. Zonal visit to site at the request of CRS/New Delhi .....
3. Zonal visit at the special request of the applicant .....
4. Other (specify) .....

B. History of Application:

1. Date of initial formal request to CRS/New Delhi from .....
2. Date request for project evaluation arrived at CRS/Cochin from CRS/New Delhi .....
3. Date of last visit by CRS representative .....
4. Date originally funded (for an approved and funded project) .....

C. Other comments .....

.....

PROJECT ANALYSIS SECTION

IV. PROJECT DESCRIPTION

A. What is the general, overall goal of this project?

1. Directly .....

.....

.....

2. Planned side-effects (the strengthening of co-operatives, etc.)

.....

.....

3. Very specifically, what are the CRS project funds going to be used for?

.....

.....

4. Describe in outline how the project will be implemented

5. How long will it take to complete the project fully from the date funded?

Best estimate ..... Minimum .....

Maximum .....

VI. ECONOMIC DESCRIPTION OF PROJECT

A. Economic impact

1. How much in total will this project raise the income of the persons directly affected per month? Rs. .....

2. How much in total will this project raise the income of the persons indirectly affected per month? Rs. .....

3. Describe how the above two answers were determined .....
.....

4. Will this project cause anyone unemployment?
Yes ..... No ..... How many workers? .....

5. How many workers will be employed by the completed project? .....
while the project is under construction? .....

6. How much will this project raise the income of the institution per month? Rs. .....

7. Other comments .....
.....
.....

VII. ESTIMATES

A. Breakdown of CRS costs

1. What is the total cost of the project?
Rs. .....

2. What is the total cost of the project request to CRS? Rs. .....

3. List the major cost items: (use additional sheet if required)

	Item	Cost	Source of data
a.	.....		
b.	.....		
c.	.....		
d.	.....		
e.	.....		
f.	.....		
g.	.....		

4. Have these costs been checked by an expert?
Yes ..... No ..... Who .....

5. Of how many major items have you attempted to find cheaper models? .....

6. How were your costs determined? .....
.....

7. Have you asked for competitive bids?
Yes ..... No .....

8. Do costs include transportation of purchase terms, sales taxes, customs, installation costs etc.? Yes ..... No .....

9. Comments .....
.....
.....

B. Project continuation costs

1. How much do you estimate it will cost to operate

your project per year after funding is completed?
Rs. .....

2. Exactly what provisions have been made for costs to allow the project to continue after the funded phase is completed? .....
.....
.....

3. Who will pay repair costs? .....

4. Who will pay insurance? .....

5. Has depreciation been allowed as a cost factor?
Yes ..... No .....

C. Project Income Estimates

1. Will the project earn income? Yes ..... No .....

2. How much income will the project earn per year (gross)? Rs. .....

3. After the funded phase how much will the project expenses be per year? Rs. .....

4. How much is the income less expenses per year (net)?
Rs. .....

5. Describe how the above income and expense figures were established (use additional sheet if required)
.....
.....
.....

VIII. OTHER ECONOMIC AID

A. Local

1. Does the applicant have funds available to aid the project? Yes ..... No .....
   How much? Rs. .....

2. Does the applicant have resources in kind to help the project? What? .....
   How much? .....

3. Does the applicant have an acceptable physical plant in which to place the project? Yes .....
   No .....

4. How much money can be raised locally? Rs. .....
   If none, why not? .....
   .....
   .....

5. Will the people contribute labour? Yes .....
   No .....

B. Government

1. Have you asked the Government for project funds?
   Yes ..... No ..... Block .....
   District Collector .....
   State ..... Centre .....

2. What was the Government's answer? .....
   .....
   .....

3. How are you going to ensure no funds are available from the Government for this project? .....
   .....
   .....

C. Other Agencies

1. Have you ever applied to any other agencies, like CCI or OXFAM, for funds for this project?
   Yes ..... No ..... When ..... Answer .....

D. Comments .....
   .....
   .....

IX. REPAYMENT STUDY

A. Can the project allotment be repaid?

1. Can the project funds be repaid to the funding agency? Yes ..... No .....

2. Can the project funds be repaid to the diocese? Yes ..... No .....

3. Can the project funds be repaid to the applicant's organisation for future projects? Yes ... No ...

4. If repayment cannot be made, why not? .....
   .....

5. To whom would the applicant prefer to repay the grant? .....
   Why? .....

6. How long will repayment take? .....

7. What steps is the applicant establishing to guarantee repayment? .....
   .....

8. Other Comments .....
   .....
   .....

OWNERSHIP SECTION

X. PROPERTY CONTROL

A. Ownership

1. Who will legally own the project equipment? ....
.....
.....

2. Who owns the land the improvements are located on?
.....
Is his title free and clear? Yes ..... No .....

3. Is the land leased? Yes ..... No .....
For how long? .....

4. Other Comments .....
.....
.....

FUNDING HISTORY SECTION

XI. OTHER PROJECTS BY APPLICANT

A. History

1. Has application ever been made to another agency for any other project by applicant? Yes .....
No ..... Which agency? ..... When? .....

2. Has applicant ever applied to CRS for a grant before? Yes ..... No ..... Approved Yes .....
No ..... Pending .....

B. Status

1. How are applicant's other approved projects pro-

gressing? Very well ..... Well .....
Average ..... Below Average ..... Poorly .....

C. Comments

1. Other Comments .....
.....
.....

PERSONNEL SECTION

XII. ADMINISTRATIVE SKILLS AVAILABLE

A. Organisation applying for grant

1. How many members does the applying organisation have? .....

2. How long has the applying organisation existed?
.....

3. What is the legal status of the organisation?
.....

4. Name (legal title) of sponsoring organisation ..
.....

5. Exact nature and function of sponsoring organisation .....
.....

6. How capable is the organisation of maintaining accurate records, submitting progress reports, etc.?
Very highly ..... Highly ..... Average ....
Below average ..... Poorly .....

7. Does the organisation have position of leadership in the community sufficient to direct the project?

Yes ..... No ..... Comment .....
.....

8. How would you rate the relative wealth of the organisation? Rich ..... Above average .....
Average ..... Below average .....
Poor ..... (This estimate is relative to other organisations of the same type and size in India)

9. Exactly what provisions have been made to ensure absolutely that after the project leader leaves the organisation, the project will not fail or fade away?
How are "one man shows" being prevented? .....
.....
.....

XIII. TECHNICAL SKILLS AVAILABLE

A. Local experts

1. List the names of the local experts who are directly involved with the project and their qualifications (teachers, engineers, medical staff, agricultural experts, etc.)

a. .....

b. .....

c. .....

d. .....

e. .....

f. .....

2. Does this project have the required technical knowledge available locally? Very highly ..... Highly ..... Average ..... Below average ... Poorly .....

B. Outside Experts

1. What provision has been made for consulting outside experts when local knowledge is lacking?
.....
.....

C. Other Comments .....
.....
.....

CONDITION OF AREA SECTION

XIV. PRECISE GEOGRAPHICAL LOCATION OF PROJECT

A. Location

1. Exactly where is the project located?
(a) Same as under Identification Section, Item C .....
(b) As follows .....
.....

XV. SOCIAL-ECONOMIC CONDITIONS OF AREA

A. Background data

1. Name of area data based on (village, town or district) .....

2. Total population of area .....

3. What are the common occupations? .....
.....

4. What is the average yearly wage? Rs. per worker .....

5. What percentage of workers have full-time employment? ..... Have part-time employment? .....
Have no employment whatsoever? .....

6. Is the land generally owned by a few large landowners? Yes ..... No .....

7. Are the farmers mostly paying the land owners either in cash or kind to use the land? Yes .....
No ..... What percentage of the farmers? .....

8. What type of skills are in demand on the local job market? .....
.....

9. If this is a training project, does the project train people for jobs that are in demand locally?
Yes ..... No ..... How has this been determined? .....
.....

10. Are there any projects of a similar type within a five-mile radius? Yes ..... No .....
How many? ..... Give details .....
.....

11. Are there other social service agencies very active in the nearby area? Yes ..... No .....
Give details .....
.....

12. What steps have been taken to prevent duplication of facilities with either Government or other social service agencies? .....
.....

13. Within a five-mile radius of the project, how many Lower Primary schools exist? ..... Upper Primary schools ..... High schools .....
Colleges ..... Industrial Training schools ...
Other (specify) .....

14. Within a five-mile radius of the project, how many clinics exist? ..... Hospitals .....
Public Health Units ..... Mobile Units .....
Aid Stations .....

B. Comparative Impressions

A Subjective Analysis of area (in relation to Southwest India)

1. In relation to other areas in Southwest India this area's conditions are Very good ..... Good ....
Average ..... Below average ..... Poor .....
Very poor .....

2. The housing conditions are Very good .....
Good ..... Average ..... Below average .....
Poor ..... Very poor .....

3. The educational facilities are Very good .....
Good ..... Average ..... Below average .....
Poor ..... Very poor .....

4. The medical facilities are Very good .....
Good ..... Average ..... Below average .....

Poor ..... Very poor .....

5. The transport facilities are Very good .....
Good ..... Average ..... Below average ....
Poor ..... Very poor .....

6. The possibilities of employment are Very good ....
Good ..... Average ..... Below average ....
Poor ..... Very poor .....

7. The development of social service agencies is
Very good ..... Good ..... Average .....
Below average ..... Poor ..... Very poor ...

8. Other impressions .....
.....
.....

INSTITUTION SECTION

XVI. ORPHANAGES

A. Background data

1. How many inmates do you have? ..... Male .....
Female ..... 0-2 years old ..... 3-4 .....
5-6 ..... 6-10 ..... 10-15 ..... 15 and
over .....

2. How many inmates with both parents dead .....
one parent dead ..... Poor children with both
parents alive .....

3. How many staff members do you have? .....
with specialised training ..... untrained ....

4. How many inmates did you have two years ago? ....

5. Other Comments .....
.....
.....

XVII. SCHOOLS

A. Background data

1. How many students do you have? .....

(a) Lower primary .....

(b) Upper primary .....

(c) High school .....

(d) College .....

(e) Advanced degree .....

2. Is this an English medium school? Yes .... No ....

3. How many teachers do you have? .....
Graduate teachers ..... Untrained teachers ....
Other staff .....

4. Other comments .....
.....
.....

XVIII. MEDICAL INSTITUTIONS

A. Background data

1. This is a:

(a) Hospital .....

(b) Dispensary .....

(c) Mobile Unit ....

(d) Other (specify) .....

2. How many sick people did you treat last year? ....

3. How many outpatients last year? .....

4. How many inpatients last year? .....

5. Check the facilities available:

Blood Transfusion Service .....
Central Sterile Supply Room .....
Dental Department .....
Electrocardiographic Service .....
Intensive Care Ward .....
Laboratory (Clinical) .....
Laboratory (Pathology) .....
Medical Record Department .....
Medical Social Service .....
Obstetrical Delivery Room .....
Occupational Therapy Service .....
Operating Theatre .....
Organised Hospital Auxiliary .....
Outpatient Department .....
Pharmacy .....
Physical Therapy Service .....
Postoperative recovery room .....
Public Health Department .....
X-Ray Diagnostic .....
X-Ray Therapeutic .....

6. There are (number)

(a) Doctors .....
(b) Dentists .....
(c) Graduate nurses .....
(d) Laboratory technicians .....

(e) X-Ray technicians .....

(f) Midwives .....

(g) Nurses aides .....

7. Are any specialised services provided (lepers etc.)?
.....
.....

8. Does any type of school operate in conjunction with the medical programme? .....
.....

9. Is any Public Health work done? Yes .... No ....
Comment .....
.....

10. Comments .....
.....

IXX. INDUSTRIAL TRAINING INSTITUTES

1. How many students? .....

2. GOI approved? Yes .... No .... Comment .....

3. What courses are provided? .....
.....
.....

4. How long has the school existed? .....

5. How many industrial training institutes exist within a five-mile radius of this ITA? .....

6. How many industrial training institutes within a five-mile radius of this ITA provide the same type of training? .....

7. How many graduates have you had? .....

8. What percentage of the graduates are employed in the trade they were trained in? .....

9. How many teachers do you have? .....
Describe the professional qualifications of the senior ITA staff:

(a) .....
.....

(b) .....
.....

(c) .....
.....

(d) .....
.....

XX. THE INSTITUTION'S RESOURCES

A. Value of Resources

1. How long has the institution existed? .....

2. How old are the present buildings? .....

3. Are the buildings adequate? Yes ..... No .....
Comment .....

4. Do you own any land? Yes ..... No .....
How many acres? .....

5. Is any of your land being used for agricultural production? Yes ..... No ..... For what? ..
.....

6. Do you have any non-agricultural industries?
Yes ..... No ..... What? .....

7. Does the institution receive support in cash or kind from:

(a) Government? Yes ..... No .....
How much per year? .....
How much per pupil/per patient? .....

(b) Holy Childhood? Yes ..... No .....
How much? .....

(c) Diocese? Yes ..... No ..... How much? ...

(d) Other sources (specify) Yes ..... No .....
1. .....
2. .....
3. .....

8. In total how much does the institution receive per year? .....

9. In total how much does the institution spend per year? .....

10. How is any loss made up? .....

11. Comments .....
.....
.....

MISCELLANEOUS SECTION

XXI. Recommendations

A. List of recommendations

1. Has this project been recommended in writing by (give date):

(a) Bishop .....
(b) Superior General .....
(c) Block Development Official .....

(d) District Collector .....
(e) Technical Expert .....
(f) Lawyer .....
(g) Physician .....
(h) Banker .....
(i) Leading member of community .....
(j) Government official .....
(k) Other (specify) .....

B. CRS Relationship

1. Will the applicant furnish photographs of the proposed project to CRS if requested? Yes ..... No ....

2. Does the applicant agree to furnishing prompt, detailed progress reports as often as required by CRS/New Delhi? Yes ..... No .....
Can photographs be furnished with progress reports? Yes ..... No .....

3. Does the applicant clearly understand that this evaluation is in no way whatsoever a promise of funding on the part of CRS or the agencies CRS represents? Yes ..... No .....

SECTION FOR PROJECTS APPROVED AND FUNDED BY CRS

XXII. OPERATION IN ACCORDANCE WITH APPLICATION

A. Identification

1. Project number India .....

2. Date funded .....

3. Implementation period. From ..... To .....

4. Total amount of CRS grant. Rs. .....

5. Total amount of CRS grant spent to date Rs. ....

6. Other funds spent to date Rs. .....

7. What agency did CRS receive funds from? .....

8. Is the project completed? Yes ..... No .....
   Completed date .....

9. Is the project still to be completed? Yes .....
   No ..... Estimated date of completion .....

A. At project site

1. Is the project being operated as stated in the project request?
   Yes ..... No ..... Comments .....
   .....
   .....

2. Is the project achieving the goals stated in the application (if in operation)?
   Yes ..... No ..... Comments .....
   .....
   .....

3. Is the estimated project's completion on schedule?
   Yes ..... No ..... Comments .....
   .....
   .....

4. Are any factors developing that were not taken into account in the original application?
   Yes ..... No ..... What .....
   .....
   .....

5. Are the progress reports accurate and complete?
Yes ..... No ..... Comments .....
.....
.....

6. Any comments on observations at project site ...
.....
.....

C. Project Records

1. Are prompt, detailed progress reports being submitted to CRS/New Delhi? Yes ..... No .....
Comments .....
.....

2. When was the last progress report sent to CRS/New Delhi? .....

3. Are acceptable bookkeeping records being maintained?
Yes ..... No ..... Comments .....
.....

4. Are expense receipts available for inspection?
Yes ..... No ..... Comments .....
.....

5. Has the expenditure to date been actually for what was requested in the project application?
Yes ..... No ..... Comments .....
.....

6. Any comments on records .....
.....
.....

D. General

1. How would you rate the success of this project?
   Very high ..... High ..... Average .....
   Below average ..... Poor ..... Very poor .....

2. How would you rate the leadership of the personnel directing the project? Very high .....
   High ..... Average ..... Below average .....
   Poor ..... Very poor .....

3. Any comments .....
   .....
   .....

END OF EVALUATION

Date: .....

Signed by evaluator:

.....

Full name, title and address of evaluator:

.....

.....

.....

.....

SOCIO-ECONOMIC PROJECT RECOMMENDATION REPORT

(CONFIDENTIAL)

Date .....

Reference .....

.....

RATING OF PROJECT

To What Degree:	Very Highly	Highly	Average	Below Average	Poorly
1. Is the project worth the cost? The cost/benefit ratio					
2. Does the project help solve a serious need?					
3. Is the project administratively well planned?					
4. Is the project financially well planned?					
5. Is the technical preparation sound?					
6. Are the personnel able to operate and make best use of the equipment?					
7. Is the organisation sound?					

To What Degree:	Very Highly	Highly	Average	Below Average	Poorly
8. Has this organisation had success with other projects?					
9. Has an effort been made to use local resources?					
10. Is the project in line with the priorities of the region?					
11. Other (specify)					

FINAL RECOMMENDATION

A. For a New Project Application:

1. Very highly recommended for funding .....
2. Highly recommended for funding .....
3. Average recommendation for funding .....
4. Not recommended for funding .....
5. Strongly not recommended for funding .....
6. Suggest costs be checked by technical expert ...
7. Suggest further evaluation by:
   (a) AFPRO .....
   (b) Indian Social Institute .....
   (c) Other (specify) .....

8. More detailed research and planning be done by the project applicant in relation to .....
.....

9. Other action .....

10. Comments .....
.....
.....

B. For an Approved and Funded CRS Project:

1. No special action be taken .....

2. More detailed progress reports required .....

3. A technical expert be sent to check .....

4. A letter be sent from CRS/New Delhi to the project director requesting a statement of the specific action taken to correct noted deficiencies .....
.....

5. Other action .....

6. Comments .....
.....
.....

C. For a Preliminary Visit

1. CRS/Cochin has suggested a formal application be made .....

2. CRS/Cochin has not recommended the applicant to apply formally for a grant .....

3. CRS/New Delhi is requested to provide CRS/Cochin with an opinion on the possibilities of funding this proposed project .....

4. More detailed research and planning be done by the project applicant in relation to .....
.....

5. Other action .....

6. Comments .....
.....
.....

D. Other Comments .....
.....
.....

Full name, title and address of person making final recommendation:

.....
.....
.....
.....

Sincerely yours,

.....

Source: Catholic Relief Services - United States Catholic Conference. Manual for Socio-Economic Development. New York: Catholic Relief Services, June 1971.

Appendix R

Project Questionnaire
Utilized by One Study Sample Organization
March 1971

1. What are the priority goals of the project as you see them? Have they changed (and how) since the project's initiation?

2. How do these goals fit into the overall objectives of the organization? How do they fit into any national or regional development plan?

3. What constraints do you anticipate in the short/long term in reaching the project's objectives?

4. What strategy(ies) do you envision for meeting and overcoming these constraints (governmental, local)?

5. What do you consider the potential of the project or realize its stated goals within 2 years? 3 years? 4 years? 5 years?

6. In what ways do you involve the local populations in decision-making which takes place within the project?

7. What checks and balances or methods of resolution exist in the event a decision is contested by the counterpart staff, client population, government, the organization?

8. How are you identifying local leaderships which might serve on a managing or advisory board?

9. What procedures (training, etc.) are built into the project for ultimate independence and direction by local personnel?

10. How will the project contribute to the population's ability to more effectively control their own lives?

11. What local institutions, attitudes, customs, habits is the project aimed at altering? In what way is the program unique in the country/region?

12. What activities are designed to raise the standard of living of the program's client population, in short and long term?

13. Identify the disciplines (skills, sorts of technical expertise) and their respective roles which will be involved in the project's activities?

14. What, if any, plans exist for the introduction of a voluntary family planning program component? Please detail previous history of family planning in area (country), method of introduction, i.e. education and/or clinical service, number of project staff and per cent of budget devoted to this activity.

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15. What specific steps have been made (or are projected) for institutionalizing (or generalizing) the project's activities and/or learnings?

16. What form of ongoing evaluation of the project's progress are you employing?

17. What are three aspects of the program that you would emphasize most to the host government, general public, client population?

18. What are three aspects of the program that you would emphasize least to the host government, general public, client population?

19. What information would/do you wish to receive/know about the organization which you did not already know when you were employed?

20. What advice would you give to central headquarters staff in relation to your living, description of project, responsibilities in the field, nature of back-up support, nature of supervision, criteria for evaluation, post-project employment?

Appendix S

A.I.D. Planning, Implementation and Evaluation Systems Documents and Their Use
(as of November 1970)

Source: Kenneth L. Mayall, *et al.* *Phase I Special Technical Report: Military Civic Action (Evaluation of Civilian Techniques).* Research Triangle Park, N. C.: Research Triangle Institute, unpublished (OU-533).

Appendix S

A.I.D. Planning, Implementation and Evaluation Systems Documents and Their Use
(as of November 1970)

1. Project Ideas:

A multiplicity of variable factors generally determine the characteristic "mix" of project ideas that constitute a country or regional program. There are, however, certain established criteria common to all projects. These determinants are as follows:

a. A.I.D. Strategy
b. Host Country Development Plan
c. Other Donor Activities
d. Available Resources (personnel, financial, and material)

Project ideas are inherent in the developmental needs of less developed countries. They emerge from in-depth studies of the economy, the experience of development-minded civil servants and foreign staff, and politicians whose sensitivity to the political realities of an economy prompts them to recommend development ideas.

The criteria for evaluating development ideas are influenced by U.S. interests and capacity to support programs, cooperating equity development plans, available resources, and political and sociological considerations.

2. PROP (Non-capital Project Paper) and PPP (Preliminary Project Proposal): M.C. 1025.1, M.C. 1025.2

An idea in an exploratory stage is usually presented as a Preliminary Project Paper (PPP) in order to solicit A.I.D./W (Washington) comment. This procedure allows the Mission time to further analyze the project. A.I.D./W is usually asked for an approval-in-principle on the basis of the PPP.

Following A.I.D./W's approval in principle, the field is asked to further analyze the proposal in a PROP and submit it to A.I.D./W for formal consideration.

A PROP requires the following information:

a. Summary Description
b. Economic Justification
c. Program Strategy

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In brief: A PROP requires an accounting of outputs in relation to inputs under certain prescribed conditions.

3. PIP (Project Implementation Plans):M.O. 1025.2

The PIP translates the PROP into a detailed plan of action and provides a framework for a meaningful evaluation. The detailed plan of action requires information on the following:

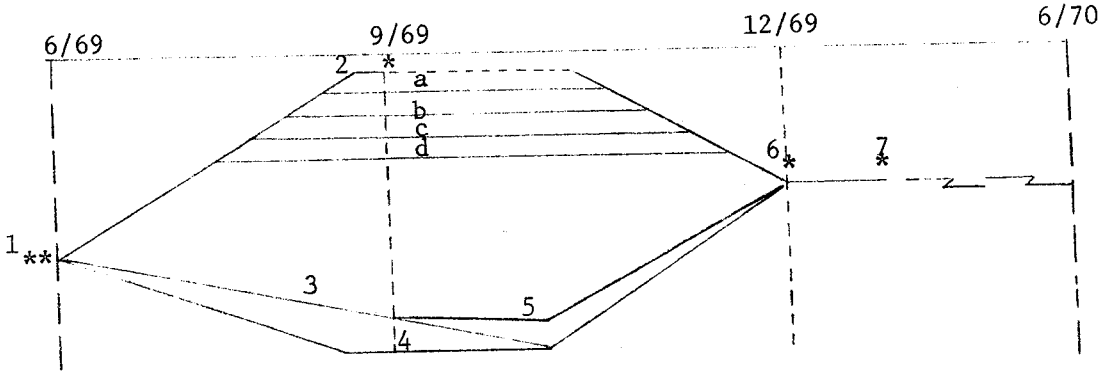
a. What work is to be done?
b. When are the various tasks to be completed?
c. Who is to do the work?

The PIP is a blueprint of inputs and outputs time-phased to show progress on a continuing basis.

4. Critical Path Analysis

While it may not be feasible to test the logical sequence and time phasing of all PIPs using critical path analysis, this management tool is available for use by project managers for most projects.

Following is a diagramatic analysis for an initial sequence of actions or events for a plant protection project: Note that action 7 is a critical path without which the project will be delayed. This event, therefore, is a significant output.



Project Implementation Plan:

Step Number	Action	Time Phase
1	Technician arrives at post.	6/69
2	Technician holds discussion with officials a) Ministry of Agriculture b) Appropriate legislative committee, Parliament c) Ministry of Commerce d) Grain comparison, Agriculture Research Staff and College of Agriculture	7/69-9/69
3	Fly over provinces to survey cropping patterns.	7/69-10/69
4	Drive to specific areas for ground observation, collect insect samples and insect damaged agriculture crops.	7/69-12/69
5	Prepare cropping map of country.	9/69-12/69
6	Complete detailed master cropping map (types of crops, types of insects and other pest damage, frequency of infestation, quantitative analysis of damage).	
7	Complete report and recommendations to establish plant protection unit in Ministry of Agriculture.	1/70

(55 different actions were developed for the execution of this project)

5. ACS (Activity Characteristic Sheets): M.O. 1028.1

The ACS is an information retrieval system based on computerization of certain project data. The purpose of the system is fourfold:

a. Serves as an index to P.A.I.S. (Project Analysis Information System).

b. Is a planning tool for others considering similar approaches to project development.

c. Is an implementation tool in assessing the efficiency of a project design and performance when compared with similar efforts elsewhere.

d. Is an evaluation device for similar activities in various countries.