

PD-AAP-214

ISN 34596

UNCLASSIFIED
CLASSIFICATION

Apr 22A-1, Chp 12, HB 3
(TR 0:43) 9-30-82

PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

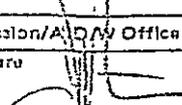
1. PROJECT TITLE Zambia Agricultural Training, Planning and Institutional Development	2. PROJECT NUMBER 611-0075	3. MISSION/AID/W OFFICE ZAMBIA 002994
	4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) 611-83-02 <input type="checkbox"/> REGULAR EVALUATION <input checked="" type="checkbox"/> SPECIAL EVALUATION	

5. KEY PROJECT IMPLEMENTATION DATES			6. ESTIMATED PROJECT FUNDING A. Total \$12,555 B. U.S. \$9,755	7. PERIOD COVERED BY EVALUATION From (month/yr.) Sept. 1982 To (month/yr.) Feb. 1984	
A. First PRO-AG or Equivalent FY 80	B. Final Obligation Expected FY 85	C. Final Input Delivery FY 86		Date of Evaluation Review	

8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIQ, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
See Annex B <i>Best available copy</i>		

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS			10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT		
<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan, e.g., CPI Network	<input type="checkbox"/> Other (Specify)	A. <input type="checkbox"/> Continue Project Without Change		
<input checked="" type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T		B. <input type="checkbox"/> Change Project Design and/or		
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify)	<input type="checkbox"/> Change Implementation Plan		
<input checked="" type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P		C. <input type="checkbox"/> Discontinue Project		

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles) James A. Graham, REDSO/ESA Brandon Robinson, " " Glenn Lehmann, Consultant Andrew Hamaamba, Consultant Francis Mbewe, MAWD/PD		12. Mission/AID/W Office Director Approval Signature  Typed Name John A. Patterson Date March 6, 1984	
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G L O S S A R Y

ADP	Area Development Programme
ARP	Adaptive Research Planning Team
BUCEN	Bureau of the Census (US)
CDSS	Country Development Strategy Statement
CIDA	Canadian International Development Agency
CIP	Commodity Import Program
COP	Chief of Party
CSO	Central Statistics Office
FAO	Food and Agricultural Organization
GRZ	Government of Republic of Zambia
IBRD	World Bank
IDRP	Integrated Rural Development Programme
IFDC	International Fertilizer Development Center
ISU	Iowa State University
LDC	Lesser Developed Country
MAWD	Ministry of Agriculture and and Water Development
MOF	Ministry of Finance
NAMBOARD	National Marketing Board
NCDP	National Commission for Development Planning
OPEX	Operational expert
PD	Planning Division (MAWD)
PEC	Project Executive Committee
PES	Project Evaluation Statement

PIO	Project Implementation Order
pm	person months
PP	Project Paper
PSC	Personal Services Contract
RDSB	Rural Development Studies Bureau
REDSO/ESA	Regional Economic Development Services Office/East and Southern Africa
RFP	Request for Proposal
SADCC	Southern Africa Development Coordinating Committee
SIDA	Swedish International Development Agency
TA	Technical Assistance
UNZA	University of Zambia
ZADB	Zambia Agricultural Development Bank
ZATPID	Zambia Agricultural Training, Planning and Institutional Development project
ZCF	Zambia Cooperative Federation

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PES - CONCORDANCE

Item No.	Site of Information in Evaluation Text
13	Summary - See Africa Bureau Executive Summary pp. 1-2, and Overall Assessment pp. 29-30
14	Evaluation Methodology - See p. 3
15	External Factors - See pp. 3-4
16	Inputs - See Overall Assessment pp. 29-30 and pp. 18-20
17	Outputs - See Overall Assessment pp. 12-15, 20-22
18	Purpose - See p. 4
19	Goal - See p. 4
20	Beneficiaries - See pp. 20-22
21	Unplanned effects - See p. 29
22	Lessons learned - See Overall Assessment pp. 29-30

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Information for AFR Bureau Executive Summary (82 State 081077)

Q.I. What constraints does this project attempt to overcome and who does it constraint?

This project attempts to address the policy, analysis, training and management constraints faced by the GRZ in stimulating agricultural production.

Q.II. What technology does the project promote to relieve this constraint?

The technique used in this project is to couple institution building, training (both long-term and on-the-job) and technical assistance to address a matrix of analytical problems in the agricultural sector. The technique is directed problem solving using whatever means are appropriate, including data collection and computer applications.

Q.III. What technology does the project attempt to replace?

Existing GRZ policy, analysis, training and management techniques have essentially been ad hoc "fire fighting" or applications of political philosophy. Lack of coordination, adequate valid data and trained human resources have been evident.

Q.IV. Why do project planners believe that intended beneficiaries will adopt the proposed technology?

The beneficiaries, that is the GRZ entities involved, will adopt the techniques proposed in the project because they were involved in the design of the project as requestors of these techniques.

Q.V. What characteristics do intended beneficiaries exhibit that have relevance to their adopting the proposed technology?

Individuals in the GRZ entities involved have participated with the TA personnel on a collaborative basis and are actively seeking to upgrade their individual skills in using these techniques, e.g., computer applications.

Q.VI. What adoption rate has this project or previous projects achieved in transferring the proposed technology?

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The particular configuration that this project offers of institution building, training, analysis, planning and management has not been tried in Africa by AID. All the evidence from the current project appears to indicate that the techniques are appreciated and are being applied.

Q.VII. Will the project set in motion forces that will induce further exploration of the constraint and improvements to the technological package proposed to overcome it?

The nature of this project is such that, if successful, it will set in place procedures and train personnel so that the techniques of using analysis and training will continue to effect policy and management changes.

Q.VIII. Do private input suppliers have an incentive to examine the constraint addressed by the project and come up with solutions?

The private sector has no role in Zambia in the analysis, training, or management of policy in the agricultural sector. Although the GRZ is attempting to stimulate agricultural production at all levels, from commercial farms to small farmers, it regards policy initiatives in the agricultural sector as a government preserve.

Q.IX. What delivery system does the project employ to transfer the new technology to intended beneficiaries?

The delivery consists of using long and short term technical assistance personnel combined with long and short term participant training, on-the-job training and selected seminars.

Q.X. What training techniques does the project use to develop the delivery system?

In the context of this project this question is not applicable.

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I. INTRODUCTION*

This evaluation of the Zambia Agricultural Training, Planning and Institutional Development (ZATPID) project (611-0075) was undertaken in response to the evaluation requirements set forth in the Project Paper (PP - page 37). The purpose of this evaluation is to "determine whether the three year project has been successful", and if so, recommend appropriate actions for years 4 and 5 as described in the PP. Members of the evaluation team visited Lusaka during the period February 2-23, 1984. These members included team leader, James Graham, REDSO/ESA, sector analyst, Brandon Robinson, REDSO/ESA, economic consultant, Glenn Lehmann, PSC-USA, and consultant, Andrew Hamaamba, PSC-Zambia. It should be noted that although the PP called for this evaluation "after 2-1/2 years or about March 1983", circumstances have led it to be undertaken in February 1984, with actual implementation in Lusaka running only 17 months from September 1982. As consequence of this revised timing fewer completed outputs were available for review.

The evaluation methodology followed by the team was to (A) review the proposed scope of work (see Annex A) which was drafted by an earlier internal AID evaluation, (B) modify the scope of work marginally to reflect current conditions, and to assure conformity with the considerations listed in the PP (page 37), (C) review materials produced by the project, and (D) interview individuals in Lusaka representing all possible perspectives on the project. A suggestion that a member or members of the team also visit Ames, Iowa (the U.S. site of the contractor - Iowa State University) was considered, but with the visit of the U.S. project director from Ames, and the availability of academic records, it was determined that such a visit was not necessary.

Three significant factors which were not foreseen at the time of PP authorization have affected implementation of this report. Most significant was the period of difficulty between the U.S. and Zambia affecting the entire AID program which commenced shortly after the authorization of the PP in September 1980 and lasted, in varying degrees, until May/June 1983. While all project activity was not curtailed, events during the period slowed implementation activities compared to the plan shown in the

*Readership of this document assumes some familiarity with the main parts of the Project Paper for this project.

PP. For example, the position of senior resident advisor for NCDP was found by the head of NCDP to be inappropriate. Consequently more emphasis was placed on MAWD and UNZA.

The second significant factor affecting the project was that the end of US/GRZ difficulties tended to reemphasize the broader institution building which this project was designed to undertake. Renewed attention on the project brought about a re-opening of opportunities that had been foreclosed. It was now necessary to consider how to and whether to attempt activities within the broader scope of the original PP as distinct from the course set by implementation actions from 1980-83. For example, CSO (an element of NCDP) actively sought assistance which had been suggested in the PP (see p.8).

The third significant factor affecting project implementation stems from the first. With the NCDP advisory post eliminated, long-term project T.A. was heavily targetted on MAWD. For ease of mission management and to build an institutional structure, a cooperative agreement with a U.S. university was determined to be the best mode of implementation. The effect to date of this determination has been to strengthen MAWD/UNZA-ISU institutional linkages. The project is now called to respond to new policy and program interests in MAWD/NCDP/CSO.

The project goal as shown in the PP (p.i) is "to assist the GRZ in increasing Zambia's per capita food production and in increasing the incomes of small farmers." The purpose of the project "is to improve and strengthen GRZ's capacity for analysis, planning and management in the agricultural sector through extensive training of relevant GRZ agricultural officials and analysis of critical problem areas constraining agricultural development." The evaluation team views that, in fact, there are two purposes depending on the time frame involved: a short/medium term purpose aimed at improving GRZ performance through collaborative policy analyses, and a longer term purpose of institution building aimed at strengthening GRZ analytical and management capabilities with improved human resources. A central concern must be how to maintain a proper balance between the shorter and longer term objectives without jeopardizing either and how to make these two objectives as complementary as possible, as contemplated in the PP. (For example, the collaborative analyses which satisfy the short term objective should also contribute to the long term by providing on-the-job training in analysis to Zambian and by identifying skill deficiencies for

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long term training. The technique of establishing an "illustrative" list of problem areas (PP p. 14) serves to focus both the shorter and longer term activities on a single set of policy and operational problems.

The evaluation team has reviewed the various individual initiatives taking place in Lusaka under this project and presents its detailed findings and recommendations in Section II. In keeping with the evaluation requirements set forth in the PP (p. 37, items 6 and 7) the evaluation team will indicate its overall assessment, its recommendation regarding years 4 and 5 and its summary recommendation for changes in Section III.

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II. DETAILED REVIEW

The central purpose of the project is to improve GRZ analysis, planning and management of the agriculture sector. Desired outcomes include strengthened linkages among institutions while techniques include collaborative policy analyses, and provision of technical assistance and training.

This section will review project activities in terms of the following areas - institution building, collaborative policy analyses, technical assistance, training, other donor coordination, data management and overall project management. Under each heading an attempt is made to present the original objectives, assess the accomplishments, enumerate problems encountered and make problem-oriented recommendations.

1. INSTITUTION BUILDING, INSTITUTIONAL AND PROFESSIONAL LINKAGES

To achieve the project calls for close collaboration and coordination between the various GRZ institutions which are involved in the planning and implementation of the agricultural sector. The key institutions include MAWD, WCDP, CSC, MOF and UNZA/RDSB. The project design recognized the necessity for strengthening institutional and professional linkages in all these institutions. Without these linkages the collaborative approach called for in the project can not be effective.

(a) The evaluation team saw evidence of institutionalization of planning and policy analysis capability in the PD. The PD has undergone a reorganization of functions in accordance with the World Bank recommendations of December 1982. The PD is now streamlined into six operative sections - Budget Analysis Section (BAS), Project Analysis and Implementation Section (PAIS), Sectorial Planning and Analysis Section (SPAS), Production and Marketing Section (PMS), Technical Assistance Section (PAS) and Agricultural Statistics Section (ASS). The staff establishment of the PD has also been increased, bringing the total number of professional level posts to 56. Most of these established posts are filled by Zambians. These are also expatriate staff in the PD attached to specific donor programs. The important post of PD Deputy Director has recently become vacant.

Each section of the PD develops an annual work plan which is taken into account when the Director of PD develops his work plan for the project. Staff of the PD interviewed are satisfied with consultations within sections. There is,

however, a strong feeling that the level of consultations among sections needs to be coordinated by a higher PD authority, through a common work-plan and regular meetings, as recommended by the World Bank. There is also need for coordination or collaboration between PD and all wings of MAWD. From interviews, the evaluation team concluded that the ISU team has helped improve management in and coordination among the various sections of PD, but that there is still a big gap in coordination within the Ministry. One of the constraints in coordination is the inexperience of staff in PD. Long-term training and especially in-service and on-the-job training will in time overcome this constraint.

RECOMMENDATION: PD should improve its internal communications and coordination through a common annual work plan and periodic staff meetings. The post of Deputy Director of Planning should be filled. The DDP should have the function of coordinating the work of the various sections in PD and should carry out liaison with other wings of MAWD.

The PD has worked out a staff development training plan which takes into account the training skills necessary in each section. Each person in the section is earmarked for training in one or more areas to cover the skills he requires in the performance of his work. Unfortunately, this has only been done in PD; other collaborating sections of MAWD and other institutions should develop similar plans. Such plans will help in the coordination and collaborating network as required in the project.

Another important tool in building capability and linkages between institutions is in-service training through workshops and seminars. The in-service training that has taken place so far appears to have attracted participants from wide-ranging institutions. There is, however, a case for tailor-made in-service training from the most important participating institutions in the project, e.g., PD and other wings of MAWD, NCDP, CSO, MOF and UNZA/RDSB.

One area which has barely been influenced by the project is data collection and utilization of computers. Further discussion of data needs is found in Section II.6 below, while computer training is covered in Section II.4,

(b) Due to the way the project was implemented at the beginning, project activities are now concentrated in PD/MAWD where the long term advisors are located. The evaluation team found little evidence of formalized linkages until recently

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between the collaborating institutions. Linkages did, however, exist between PD/MAWD, NCDP, CSO and MOF on a personal level, and through the operation of a project training committee. The coordinating role of NCDP, including CSO, and the nature of MAWD/PD's functions create more conditions for linkages than in the case of the other institutions. With the enthusiasm that is being shown with NCDP, and recent agreement on agricultural data between CSO and MAWD/PD, better linkages should develop during the remainder of the project life.

Rural Development Studies Bureau (RDSB) which is under UNZA, has since its creation had some links with MAWD. Staff of RDSB have carried out some "rural development" studies at the request of MAWD either on their own or in collaboration with MAWD personnel. The ZATPID project has further enhanced the linkages with MAWD, especially the PD. The functions of RDSB have been increased and made more systematic in relation to specific investigations through coordination with the project staff. Prospects for improved linkages between MAWD/PD and RDSB are brighter if the latter's proposals to expand its staff are implemented.

Ministry of Finance's participation in the project has been minimal, limited only to training. As the MOF is very important in the linkages network, the Ministry should be stimulated to take a much more active role in the project at a higher level than is the case at present.

RECOMMENDATION: USAID must take the initiative in stimulating participation on the part of Ministry of Finance. Representation by the Ministry of Finance on a level equal to NCDP, UNZA and MAWD in the PEC should be encouraged.

Recently, the high-level governing body for the project the Project Executive Committee (PEC), was reconstituted. The purpose of the PEC is "to provide a means to coordinate and approve actions necessary for implementing GRZ/USAID Project 611-0075 - Agricultural Training, Planning and Institutional Development". The Committee should help enhance the collaboration of the participating agencies, all of whom are represented on it. (See Annex H).

UNZA, as distinct from RDSB, has a more limited role in strengthening linkages with other collaborating institutions. Its main role so far has been helping conduct seminars and a math class for GRZ economists.

GRZ has now started implementing its Decentralization Policy as stated in a 1980 Act of Parliament. According to this policy, project planning and implementation processes must be fully coordinated at the grass-root level between the Lusaka-based Ministries and the Provincial and District Authorities. NCDP made a strong plea to the evaluation team for the project to seriously look at the training needs of staff in the provincial and district planning units. Adequate training would improve the capabilities of these units and tend to link GRZ policy analyses with the realities of development in the rural areas. The project could appropriately identify these training needs, GRZ institutions to provide such training and assist in formulating training plans including the training of trainers.

In November 1983 a new Ministry of Cooperatives was created and absorbed the Department of Marketing and Cooperatives from MAWD. As marketing is a key indicator in terms of stimulating agricultural production and marketing has been identified as a key problem area in the PC (p. 14), the institution responsible for marketing policy should be an integral participant in project activities. When the Department of Marketing and Cooperatives was under MAWD, the Production and Marketing Section in PD worked very closely with Marketing staff. The linkages have now weakened and coordination will need to be more formalized than before the creation of the new Ministry.

In view of the number of linkages which are now forming, need strengthening, or need to be established among the GRZ entities such as RDSB, NCDP, Ministry of Cooperatives, MAWD and PEC in-service management training serves as useful purpose. ISU has taken the lead in developing in-service seminars and workshops on management and coordination techniques within the context of MAWD/PD. Experience gained in such workshops can be used to benefit other GRZ entities.

RECOMMENDATION: In-service management training by ISU for MAWD should continue, and be expanded to other entities as appropriate.

(c) Institutional building and improving the capability of GRZ officials connected with the agricultural sector can only be attained on a permanent basis by retaining well-trained and experienced personnel. At present there is an attrition rate of 15 percent per annum. If this did not change, it would mean that in six years' time after the project all the staff trained under the project will have left their

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original employing agency. This defeats the very basic institution building objective of the project.

The main reason given for the high attrition rate is, to date, that well trained personnel have little difficulty in finding jobs with better incentives than in GRZ. These incentives do not primarily relate to salary alone, but more to other forms of remuneration, such as housing, transport, better office accommodation, etc.

RECOMMENDATION: The PEC should initiate a study on staff retention in the agricultural sector to identify possible changes in employment conditions to enhance staff continuity.

RECOMMENDATION: USAID should indicate willingness to make available counterpart funds to support recommendations of the above PEC study.

II. 2. COLLABORATIVE POLICY ISSUES

a. Policy Objectives

There has been important changes in GRZ agricultural policies since this project was formulated and approved in 1979-80. At that time the GRZ was reacting to its growing budget, foreign exchange and debt difficulties through restraint of expenditures, without adopting a new development strategy based on agricultural growth, import-substitution and exports. Accordingly, AID's program strategy had two objectives: increase total farm production, and increase small farmer incomes (for both equity and growth reasons).

This project was designed to contribute to those goals through strengthening the GRZ capacity for analysis, planning and management in the agricultural sector. The project activities plus the increased GRZ capacity, were expected to alleviate, directly or indirectly, the four identified GRZ constraints on agricultural development (inadequate investment, inappropriate policies, information gaps, and poorly designed and executed small farmer projects).

The collaborative policy analyses were to address 10 illustrative problem areas in agriculture (as listed on Page 14 of the Project Paper). These had been tentatively approved by the GRZ, but it was recognized that some flexibility in implementation might be needed as Zambia's policies and problems were further explored.

Since 1980 Zambia's financial situation has deteriorated substantially due to the international recession. Agricultural growth is now recognized as the necessary replacement for copper exports, which are expected to become insignificant in about 20 years due to exhaustion of economic reserves. Agricultural growth and efficiency have been encouraged by a series of devaluations (necessary for import-substitution and exports), by the raising of consumer and producer crop prices, and by the reduction of large subsidies which distorted incentives and burdened the budget.

Currently the GRZ is discussing with IBRD officials the draft of an agricultural sector strategy paper to be presented at the forthcoming Consultative Group Meeting of donors. The quality of these discussions has been enhanced by continuous AID and IBRD policy dialogues with the GRZ. The content of these discussions draw, in part, from the existence of the ZATPID project. The strategy calls for promotion of individual commodities based on their comparative advantage; a shift from uniform to regional pricing for maize and fertilizer and the phasing out of all price controls and subsidies; a substantial increase in agricultural research, extension and training; and a gradual increase in agricultural investment, with emphasis on improved projects for small farmers. In addition the IBRD has proposed a number of studies aimed at improving the functioning of MAWD, the agricultural services and the investment program, and at improving or eliminating parastatals. These changes are in line with AID policy objectives that place increased reliance on market prices and private incentives, originally enunciated by AID/Zambia in 1980 and most recently set forth in the CDSS of January 1983 and the related CDSS evaluation paper of June 1983.

The shift in government thinking since 1980 has increased the importance of this project and created new opportunities to assist the GRZ in implementing its policy objectives. The implications for future policy analyses are reflected in the recommendations made below.

b. Completed Policy Analyses

1. Seven major policy studies have been completed in draft or final form. In addition a number of shorter studies have been completed, as well as an initial transportation/storage linear programming model and various management-type studies, such as those relating to computer use and UNZA economic faculty staffing and training. The seven major studies are:

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(a) "Policy Guidelines - Objectives and Recommendations Relating to the Zambian Agriculture Development Bank," December, 1982, 53 pages plus tables.^{1/} This study was requested by MAWD/PD to improve its knowledge of agricultural credit policies (responsibility for which it shares with the Ministry of Finance) so as to play a more important role in determining ZADB policies and to assist ZADB management. Although none of the authors was expert in development banks, the report provides a competent, though limited, analysis of agricultural credit experience and policies. The recommendations for the ZADB appear sensible but proved controversial, the principal issue being the making of direct loans to individual farmers, which has resulted in large losses for other institutions. MAWD and MOF were unable to agree on the guidelines in early 1983, whereupon MAWD requested a broader project study headed by two outside experts. Since then the ZADB has become operational and it is hoped that the issues involved in this and the second paper can be the subject of a seminar in 1984.

(b) "Zambian Agricultural Finance Markets: Appraisal of Recent Performance and Prospects," June 1983, 101 pages. This is a wider study of agricultural credit needs, policies and institutions, undertaken mainly by two short-term consultants in a four-week period. It covers such topics as farmer self-financing, interest rates, loan administrative costs, and the "horrendous" loan delinquency problems of existing institutions. The numerous recommendations include direct lending guidelines for the ZADB similar to those in the earlier report (above). The analysis is both wider and deeper and the presentation more professional than in the earlier report. It appears to be an excellent, practical, policy oriented report, on a par with the better consultant reports of AID and IBRD. It has reportedly made an important contribution (in some circles, at least) to the ongoing debate over agricultural lending policies.

(c) "Fertilizer Supply and Distribution - Issues and Constraints," July 1983, 156 pages plus annexes, Rawson and others. This has been the most ambitious joint effort to date and it proved to be over-ambitious, partly because total

^{1/} Each study has a variety of contributors, normally from MAWD/PD staff (Zambian and expatriate) plus resident ISU advisors and/or short term ISU-recruited consultants.

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short-term consultancy time was considerably less than planned, for various reasons. The findings of the team appear to be scattered; the lead recommendation is that a more detailed study be undertaken. The three short-term consultants left behind pieces of a report; it took the resident advisor a month to put the report together. The report did find waste in the handling, storage and application of fertilizer; the entities involved have disputed some of the findings and criticisms, particularly in cases where responsible officials were not consulted during the study. Reportedly, some improvements in storage practices have been made as a result of the report. The report assembles and comments on a lot of information but the team did not have adequate time or expertise to probe more deeply, consult with GRZ, and write an integrated report. Despite their disappointment, GRZ officials state that the study did highlight some problems and contribute to GRZ/parastatal understanding and dialogue on this complex subject. A follow-up, comprehensive study (by IFDC) has been proposed by ISU, but MAWD prefers to defer a decision on the scope of work and contractor, pending possible organizational and policy changes.

(d) "Small Farm Sector Studies: Rural Data for Planning," July-August, 1983, three reports by RDSB. These three studies are the principal contribution to date of the RDSB element of the project. The first report (Phase I) was to be a survey team, was more of a sample field survey of small farmer opinions and characteristics than of the data needs of government and parastatal officials. Phase II was a bibliography of Zambian rural data studies, undertaken by a MAWD/ARP team, with very limited descriptive and no evaluative comments. Phase III was "An Assessment of Small Farm Surveys Conducted by RSDB," by Nina Blid of ISU. This study found that past surveys had been largely of an ad hoc nature and did not provide comparable data. In this connection the RDSB pointed out this was largely due to the special interests and requirements of the financing agencies, including donors. The RDSB also complained that the author (who performed most of her analysis at Ames) did not return to Lusaka to discuss the results. The report has been one factor leading to RDSB adoption of new research guidelines, to assure greater continuity of efforts and comparability of data.

(e) "Groundnut Production and Marketing in Eastern Province," December 1983, 79 pages plus annexes. This report stemmed from a request by the Eastern Province, where groundnut production has declined, endorsed by MAWD. It appears to be a competent, in-depth analysis, made without

benefit of short-term consultants, or factors determining groundnut production and marketing, including the net returns from alternative crops. (The latter calculations yield comparative advantage rankings different from the nationwide estimates used by the IBRD, pointing up the need for further research and cooperation in this area). The report is still under study by the provincial and central governments. The recommendations all involve action by the central government, principally to change groundnut and maize price and purchasing policies.

(f) Regional Production and Pricing Models, 2 papers (December 1983 and February 1984) plus extensive printouts. The very important issue of the use of regional pricing to encourage greater production was selected as the prime subject for demonstration of the techniques and value of computer-based quantitative analysis. The December 1983 paper ("Recommendations for a Producer Pricing Policy in Zambia") explains the differences between current uniform pricing and a regional pricing policy based on a World Bank recommendation. The February 1984 paper ("Impacts of Regional Pricing of Maize on Producer and Consumer Prices - Preliminary Results") and printouts were specifically produced to contribute to current GRZ consideration of a shift from national to regional pricing of maize. This paper points out some of the policy choices involved, notes the limitation of analysis so far, including the lack of a clear, empirical supply function, and presents six alternative scenarios. The paper (and its comments on it, have reportedly helped make top officials aware of the complexities and uncertainties involved. Some data questions have also been raised, e.g., whether high parastatal transport costs should be used. It is still too early to say whether this endeavor will make a definitive contribution to policy formulation. Perhaps it will have to await better data and understanding of quantitative techniques. The model will continue to be refined and expanded with the addition of new data and programs.

(g) "Comparative Assessment Study of Zambian Integrated Rural Development and Area Development Programmes," second draft, February 1984, 54 pages. As part of its decentralization policy the GRZ became interested in the possibility of using the subject programs (IRDPs and ADPs) as means of strengthening management at the provincial and district levels. Eleven programs involving six donors have been initiated, with widely different approaches being used. This study results from a GRZ/donor desire to standardize the programs in certain key respects, including the strengthening

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of provincial and district institutions in development planning and implementation. The immediate impact of the study has been to improve donor coordination and GRZ/donor collaboration in this field. Ultimately, programs aimed at the small farmer should be improved. Thus, while most recommendations are administrative in character, the study addresses two of the problem areas identified in the Project Paper.

2. Relation to 10 Problem Areas

As can be seen in Annex E, the seven policy analyses address all of the illustrative problem areas except three: Agricultural Statistics, which has been addressed in part by a study of computer needs in MAND; Agricultural Resources and Recurrent Costs; and Sequence of Measures to Develop an Effective Agricultural Sector Strategy, which an Effective Agricultural Sector Strategy, which was seen as the culmination of the various institution building, training, data and policy analysis activities. Thus, the first phase of the project has done reasonably well in addressing identified problem areas through studies undertaken. The one exception is the important Resource and Recurrent Cost problem area, for which no studies are currently planned.

Given the favorable changes in the policy environment described above, it is important that future studies be relevant to GRZ policy needs. This should be assured by the new procedures for joint agreement on annual workplans and design of studies, with amendments to workplans possible to meet changing needs. (See Annex J).

Also, the implications of the tentative GRZ/IBRD agreement on a commodity-comparative-advantage agricultural sector strategy should be reflected in study plans. Comparative commodity production costs were not identified as a problem area in the Project Paper, though closely related aspects, such as pricing and transportation, were. Fortunately, the illustrative problem area list has been interpreted flexibly, as recommended in the Project Paper, and a groundnut production study was undertaken in 1983.

RECOMMENDATION: Policy analyses should be relevant to changing GRZ policy needs, including any new agricultural sector strategy; the project's illustrative list of problem areas should continue to be interpreted flexibly; the PEC should give favorable consideration to authorizing a study of the recurrent costs of agricultural sector investment projects.

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(c) Collaboration in Preparation

1. Selection and Design: All of the initial policy analyses were selected in accord with the procedures existing at the time, i.e., they were jointly agreed by ISU, AID and the PD Director, who was responsible for checking with other GRZ entities as appropriate. Recently, the selection and design procedures have been improved in two ways: (a) the PEC has been constituted, assuring formal involvement of GRZ project entities in approval of the workplan and the terms of reference of all studies and surveys; (b) study committees composed of appropriate GRZ officials and an ISU resident advisor, have been formed for most study areas, e.g., credit and inputs, to consider possible studies and their design. The latter is in accord with the new "Procedure for Securing GRZ Involvement in Project Studies and Reports" (see Annex J).

Assuming that the new study committees will assure wider consultation, more forward planning and greater GRZ participation in design, the new procedures could be further improved in two ways. First, short-term consultants could be used in the design of studies, as envisaged in the Project Paper. Second, the recommended shift of seniority from ISU/Ames to ISU/Lusaka (see Section I.7 below) together with selection of a senior economist with LDC experience, would allow more professional expertise to be brought to bear on a continuous basis in study selection and design.

2. Execution: In several of the studies (e.g., fertilizer and the credit studies), GRZ involvement has been limited for various reasons: little involvement in the design phase; GRZ failure to make specific, full-time assignment of appropriate personnel; and frequent diversions of participating GRZ staff to more urgent operational tasks. This should change with the new procedures, but the question of GRZ assignments should be watched and perhaps discussed in the PEC.

Collaboration by ISU advisors and consultants has been adequate but could be improved for short-term consultants in the following ways: better advance briefing on Zambia and the project goals, at the U.S. project site if necessary; and longer consultations in Zambia to assure collaboration, team drafting of the full report and its discussion with GRZ officials.

RECOMMENDATION: Short-term consultants should be considered for increased use in the collaborative design phase of policy analyses;

for the execution phase they should be better briefed and stay longer to assure collaborative writing and discussion with GRZ officials of the draft report.

(d) Utilization of Studies

Dissemination and discussion of the policy analyses have sometimes been slow and unsystematic. Deficiencies in past procedures should be corrected by the new agreed procedures of last Decemoer (see Annex J). These call for (1) seminars or discussions of the draft report with a wider array of GRZ officials; (2) timely reaction to and acceptance of the final report by the PD Director for transmission to the MAWD Permenant Secretary; (3) dissemination of the final report to appropriate GRZ staff and institutions; and (4) if the report is accepted by the Permanent Secretary, recommendations to policy makers or the Cabinet regarding implementation. If followed on a timely basis, these procedures will represent a major improvement.

The status and impact of the individual policy analyses are discussed above under "Completed Policy Analyses". Apart from their yet-to-be-determined educational and improved policy benefits, the only specific accomplishments to date are: improved fertilizer storage procedures, to avoid discovered waste; the use of the results of the regional pricing model in current GRZ deliberations on that subject; and donor coordination re IRDP projects and policies achieved through preparation of the IRDP paper. The potential impact of the policy analyses would be enhanced by the assignment of a senior economist with LDC experience, who would be able to hold discussions with higher level GRZ officials and with IBRD economists. (See Section II.7 below).

RECOMMENDATION: The PEC should review quarterly the status of compliance with the new agreed procedures for timely discussion, acceptance, dissemination and implementation of project policy analyses.

(e) Planned Studies

The 1984 draft workplan for the resident advisors calls for eight policy analyses: the IRDP study, now in its second draft; additions to the regional pricing and production model; a storage/transportation quantitative model, for which an initial paper and printout have been prepared; agricultural input studies on herbicides and farm machinery, the timing of

which is uncertain, and on fertilizer and lime distribution, which has been postponed; a study of small farmer production and marketing of cassava and millet; and an agricultural credit study, for which terms of reference for two possible studies (on internal farm financing and on borrowing and lending costs) have been prepared for consideration by the agricultural finance study committee. Given the fact that two of the eight studies are nearing completion and that only one new study (on cassava and millet) appears definite, it may be possible to substitute other policy analyses during the year.

In addition in 1984 there will be two studies by RDSE, workshops or seminars on some of the policy papers, and papers and workshops on various management questions, such as PD outputs and the agricultural project cycle.

II.3. TECHNICAL ASSISTANCE

The PP objectives for the technical assistance personnel were that they should "obtain close and continuous GRZ collaboration in the problem solving approach called for by the project". The long-term personnel under PSC's were to be assisted by short term consultants who would be primarily responsible for carrying out the analyses envisioned under the project and participating in in-country training activities. Selected OPEX personnel were also envisaged.

The technical assistance personnel actually provided on a long-term basis to the project by ISU are configured differently. There are presently three experts in MAWD, a chief of party and two mid-level economists. The evaluation team finds that the objectives of "obtaining close and continuous GRZ collaboration in the problem solving approach" is by and large being achieved, although these long term personnel are much more involved in carrying out the illustrative list of analyses that was anticipated in the PP. The short term consultants have performed the analysis role expected in the PP, but have not been used for study design. OPEX personnel have not been requested by the GRZ to date. Some of their possible functions in MAWD have been assumed by the long term personnel.

The quality of the long term personnel is good although the mid-level personnel lack appropriate prior LDC experience and are junior to those originally proposed by ISU for consideration (see p. 42 of ISU proposal). The Chief of Party's qualifications and experience respond strongly to the PP job description (Annex G-1). He is, nevertheless, not an

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economist, and it has been repeatedly brought to the attention of the evaluation team that a senior economist is sorely needed. We have been advised that a new Chief of Party will arrive in the summer of 1984. We consider his qualifications as related to those set forth in Annex G-1 of the PP, to be inadequate, primarily in terms of overseas experience.

RECOMMENDATION: That since the necessity to obtain the services of a properly qualified senior economist is evident for technical leadership and high level policy dialogue, and ISU has been unable since the inception of their cooperative agreement (dated October 1, 1981) to provide such an individual, USAID should consider obtaining the required services on a long term PSC.

Use of short term personnel has actually been quite limited when compared to the PP projection of 96 person months (9 pm). A total of 17 pm has been used in support of studies in fertilizer, agricultural finance, computer utilization, a training workshop and a review of the NSDB. ISU staff and management visits have provided an additional 2 pm of short term assistance. The quality of short term technical assistance has been generally good, although inadequate briefing (as noted in Section II.2 above) and too little time in Lusaka hampered effectiveness. Comments in the field tended to indicate a preference by ISU to use its own staff for field assignments, whether they were most qualified or not, in order to gain LDC experience.

II. 4. TRAINING

(A) Participant Training

From inception of the project, training has been recognized as a vital point through which the project purpose would be achieved in the long run. The project envisaged that by the end of the project period:

- (i) 840 pm of long term training in the U.S. would be given; that is, 35 Zambians approximately would undertake post-graduate training.
- (ii) 130 pm of short term specialized training would be held in the U.S. and third countries within the project period.
- (iii) 20 in-country training courses would be provided.

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Despite the slow start of the project, the training component has made good progress. The major collaborating institutions are availing themselves of training in the U.S. under the Cooperative Agreement. Third country training has so far been undertaken in Uganda (Makerere) and Tanzania (Dar es salaam). 34 participants have gone for short term and long term training. Of this number, 12 are to undertake graduate training and 8 CSO staff are to follow diploma courses at Dar es salaam. Six participants are scheduled to leave for graduate training in 1984/85.

Current Position

Graduate Training

Diploma

MAWD 3
NCDP 3
CSO 1
UNZA/RDSB 2
UNZA

CSO 8

2

Short Term

MAWD 7
NCDP 3
UNZA/RDSB 1

CSO
HOF 1
NAMBOCA 1

1984/85 LT Training

UNZA/RDSB 2
MAWD 2
NCDP 2

Above participants were selected by the project training committee, on which all of the participating institutions were represented. With the re constitution of PEC, the selection of training candidates will be undertaken by this Committee. There is scope for improvement in relation to the specific needs of the collaborating institutions. The PD has developed a staff development training plan, which is a satisfactory guide for determining training needs of the PD staff. It is suggested that other institutions also work out their long term human resources development plans on which training should be based. Also, as more analysis of the problem areas are completed, skills gap will become more apparent and training, especially short term, can be more appropriately determined and designed.

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RECOMMENDATION: Recognizing that it will take time, collaborative policy analyses should be used more fully to identify GRZ skill deficiencies and corresponding training needs.

No information was available to the evaluation team regarding the status of the trainees in Uganda and Tanzania.

RECOMMENDATION: ISU must track all training outside of Zambia, including that taking place in Uganda and Tanzania, and provide adequate reports.

No long term participants under the Cooperative Agreement with ISU/Ames have come back from training. However, prior to the implementation of the Cooperative Agreement three candidates were sent for long term training. These have returned and are working in PD/MAWD (A. Mwaba), RCDP (Sinyinza) and ZCF (Nang'amba). These were insufficient for the evaluation team to form a definitive opinion on the appropriateness of training being undertaken in the U.S. From various interviews the team has been informed that candidates for graduate training with inadequate mathematical background for direct entry at ISU find both the preparatory course at Economic Institute - Colorado and the ISU courses too taxing. First semester grades averaged below 3.0 points.

The evaluation team noted GRZ's desire to place some students in other universities and to broaden areas for training to accommodate the varying training needs of the participating institutions. Of the eight students who were sent for to the U.S. graduate training last year, seven went to ISU.

The team was, however, given information that of the six participants nominated for 1984/85 only one is being considered for entry at ISU/Ames; the other five will be placed at other universities - two at Oklahoma State University, one at University of Kentucky, and two at University of Missouri. These universities have been selected on the basis that each of them there is at least one faculty member with connections with ISU. Although this initiative of placing students in universities other than ISU will meet GRZ's desires in principle, the team noted that the PEC/Lusaka recommended some universities other than other selected by the ISU project authorities.

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The evaluation team notes that in order to accommodate the training requirements of all the major collaborating institutions, post graduate training should include other relevant areas and not be restricted to Economics or Agricultural Economics.

RECOMMENDATION: ISU must consider the priority recommendations of the PEC regarding training sites and subjects other than at ISU; evaluation of trainees by PEC or their delegate in the US should be made after one semester to reconfirm that the prescribed course of training is feasible for the participant and, or not, the course of training (and perhaps the location) should be modified.

(b) Pre-Service and In-Service Training:

Apart from participant training in the US and third countries the project focuses on in-country training as an effective tool to bridge skill gaps within the collaborating institutions. The target of the project is 20 in-service courses. So far seven have been given. The courses were attended by more than 125 participants from several relevant institutions. For example, the course in "Agricultural Investment Analysis and Planning in the Public Sector" in August 1983 attracted participants from 15 institutions. This is evidence of the usefulness which participating organizations attach to these courses.

In one of the courses that was run, representatives from two other countries attended - Malawi and Zimbabwe. The Chief-of-Party indicated that there is a possibility for running a course for SADC countries. Although this is a commendable effort on the part of the project staff and further testimony of the usefulness of the in-service training courses, this should not be done at the expense of the primary objective of the project, i.e., to strengthen the capability of GRZ institutions involved in planning and implementing agricultural policies.

The collaborative nature of the project has resulted in on-going informal on-the-job training by the resident advisors. The only formal on-the-job training program began recently in the use of micro-computer in PD. Since training can also be provided by other expatriates in FO, and since four more micro-computers will arrive soon, an overall PD training program in quantitative analysis and computer use needs to be designed and agreed.

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In 1982 UNZA and ISU concluded a Memorandum of Understanding outside of the project. According to this agreement, ISU is supposed to provide staff to strengthen the teaching of economics with particular reference to the strengthening of analytical and quantitative skills of future GRZ economists in the framework of the proposed degree programs - BS and MS in Agriculture Economics. The curriculum for this program has now been developed. However, since the agreement was signed, ISU has not been able to provide the required faculty staff to assist UNZA on a long-term basis. In the absence of USIS or other financing, ZATPID is now financing an economist to assist in teaching economics at UNZA as a stop-gap measure in view of the repeated concern by the university authorities. This is an ad hoc arrangement which not only does not meet the long term needs of UNZA as originally envisaged in the UNZA-ISU Memorandum of Understanding but also goes further than was foreseen in the PP. The resources desired by UNZA to strengthen its long term capability are beyond the scope of the token assistance which the project can and has provided.

UNZA is also linked in the project through the mathematics course which Dr. Lungu of the mathematics department teaches. This course is designed to meet deficiencies of economists in PD and other GRZ institutions. It is also a helpful preparatory course for those earmarked for graduate training in the U.S. Although the evaluation team sees this as a useful development, its overall recommendation regarding UNZA is as follows:

RECOMMENDATION: Creation and staffing of Ag Econ and MA in Econ courses appear to lie beyond the scope and capacity of the PP. Any further funding considered for UNZA (with the exception of RSDS) should be subject to a thorough assessment of the advantages of and the resources available for providing BS and MS degrees in Ag Econ and strengthening the MA program in Econ and UNZA. UNZA faculty could still to participate in any in-country or in-service training provided by the project and would be eligible for long-term graduate training.

II. 5 DONOR COORDINATION

The PP called for "necessary coordination with other donors to be achieved". Within MAWD/PD, the effective epicenter of project activity, to date there are expatriates provided by SIDA, CIDA, UK and FAO in addition to those

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provided under AID funding. Discussions with the GRZ and with involved donor representatives leads the evaluation team to conclude that a high degree of coordination and cooperation exists among donor personnel. Potential for donor coordination (or lack of it) in NCDP, MOF and UNZA to the present is less clear, though these entities have received far less attention than MAWD. Apparently the only point where donors could have potential coordination difficulties is in the selection of long term trainees, as each donor wants the most qualified candidates. One positive activity which should enhance other donor coordination is the policy review (see Section II-2-1-g) which is intended to standardize key aspects of donor programs.

II. 6 DATA COLLECTION, DATA PROCESSING, INFORMATION STORAGE, RETRIEVAL AND FLOW:

Data collection by MAWD and ISU personnel has been carried out under some ZATPID collaborative studies and analyses, such as the groundnut study. Installation of a microcomputer in the Planning Division of MAWD and some ad hoc training of Zambian staff members has taken place. However, the general status of agricultural data collection, processing and analysis in Zambia has not undergone significant change under the project; continues to be unsatisfactory; and constitutes a major impediment to the formulation of sound agricultural policies. Scattered and partial surveys carried out by MAWD, CSO and RDSB provide data of limited quality, reliability, coverage and comparability. Data processing in the GRZ is characterized by great delays and backlogs.

Assistance to the CSO under the original project design (see problem area no. 2 - Project Paper pps. 3, 14, 30) was included in order to bring about collection, processing and analysis of the agricultural and socio economic data needed to improve policies. The period of GRZ/US difficulties delayed the initiation of AID assistance activities in this area. An institutional appraisal of CSO and the computer center in the Ministry of Finance under a population/maternal child health/family planning preassessment by REDSO and BUCEN personnel identified some of the major constraints to the data collection, processing and analysis needed. This was followed by a more intensive examination of CSO and the computer center by a two-person BUCEN team. The recently completed assessment identified defects and deficiencies in data collection, processing and analysis and proposes as assistance program to overcome these weaknesses.

RECOMMENDATION: That the BUCEN diagnosis and proposed corrective measures be carefully examined and assessed by AID/Zambia, and if accepted, be considered for initial implementation in the present project. Simultaneously, AID/Zambia should seek population funding to support those aspects of CSO activity, such as demographic analysis, that appropriately fall outside the objectives of this project.

II. 7 MANAGEMENT

Project management objectives in the PP are the epitome of flexibility. NCDP was designated to provide central coordination from the GRZ side (p. 35) and the GRZ was to select a project director (p. 15). AID was to assign a full-time project manager (p. 19) and to interact with the GRZ and the senior resident advisors to be placed in MAWD and NCDP. This management mechanism in terms of the GRZ never came into being. With the advent of the ISU Cooperative Agreement executive committees were established in Lusaka and Ames. Except for a few initial meetings in 1981, the one in Lusaka did not in fact function as such until recently. At present, however, Lusaka has a fully constituted Project Executive Committee (PEC) with a defined and approved terms of reference representing appropriate GRZ entities, as well as AID and ISU. (See Annex F). Chairmanship of the PEC lies with MAWD and policy guidance flows from the GRZ/AID Grant Agreement of 26 September 1980 (which is consistent with PP objectives). It is too early to assess the effectiveness of the PEC as its real establishment as an approved entity took place in December 1983. Project management prior to that was largely handled by AID, ISU and MAWD on a regularly coordinated basis, partly through the inter-agency training committee.

The evaluation team commends the parties involved for establishing the Lusaka PEC with explicit functions. This group and its terms of reference embody the spirit of joint collaboration set forth for the project. It could prove a prototype for GRZ/donor collaboration in other Zambian projects.

Although individual management problems and recommendations will be noted in subsections below, the evaluation team finds the implementation of this project has suffered because management decisions have required involvement of authorities in two locations - Lusaka and Ames. With the resurgent interest on the part of other GRZ entities (NCDP, CSO, Ministry of Finance and Ministry of Cooperatives) and the reconstitution of a functioning PEC in Lusaka, it is essential

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that the locus of decision-making be Lusaka in order to achieve both good management and the collaborative goals of the project.

(A) AID Management - AID's management responsibilities under the project are outlined on p. 34 of the PP and include normal coordination, documentation and backstopping responsibilities. AID/Zambia has issued necessary PIO's on a timely basis, sent off an initial group of participants prior to signature of the ISU Cooperative Agreement, has monitored project activities and provided logistical support to the project and its implementors. Although there are numerous instances of implementation and management problems, AID has by and large been able to resolve any that are in its capacity to do so. As a result the evaluation team makes the following recommendations for future AID management in the implementation of the project:

RECOMMENDATIONS: (a) The formal participation of the mission agricultural economist in the monitoring of the project in the areas of data collection, processing and policy analyses; (b) given the availability of grant CIP-generated counterpart, AID/Zambia should examine opportunities in the project to substitute counterpart Kwacha for those bought by U.S. dollars.

(B) GRZ Management - Given the background information in Section I and in II.7 above, project management by the GRZ has largely been limited and reactive over the early phase of the project. Nevertheless, with the advent of the fully constituted PEC it is anticipated that the GRZ management role will become more active. Measured from the perspective of input provision, the GRZ has complied with the requirements of project support to be provided by them. It has nominated trainees, provided their salary support, provided per diem for local participation in various studies and analyses, provided office space and other miscellaneous support. The GRZ management responsibilities in terms of communication and coordination were discussed in Section II-1 above. The new procedures for GRZ participation in and utilization of the policy studies were discussed in Section II.2. The evaluation team concludes that the GRZ has supported the project and provided management to the extent feasible under the circumstances.

(C) ISU/Management: Management responsibilities for ISU do not stem from the PP but from the PIO/T-RFP which was issued in February 1981. The terms of that document

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(Attachment 3A-p.6) suggest that "university rules and administrative procedures are utilized to the extent consistent with AID rules, that management of inputs is largely left to the university and AID participates more actively on substantive and program management and less on administration and management of the inputs". ISU's proposal (pp. 36-47), in response to the above cited RFP, set up a management structure that created an ISU Project Executive Committee in Ames and identified the project director, who will give "overall leadership to the project", as a faculty member resident in Ames, who would spend half time on the project and visit Zambia at least three times a year. ISU would assign an in-country project coordinator (chief of party) to be responsible for "detailed design and management of planning, analysis, and training activities within the overall framework of the project" and would be expected to work closely with the AID mission staff.

The evaluation team has examined the operation of the ISU management structure as it affects project implementation in Lusaka. While quarterly reports are succinct and excellent sources of information, verbal and other written evidence shows a litany of problems from delayed responses on suggested annual workplan modifications, to lack of information on trainees sent outside Zambia, delays in procurement support for commodities, inadequately briefed short-term consultants, and insufficient information in Lusaka regarding project funded research taking place in Ames. The evaluation team finds that efforts at improvement made in December 1983 notwithstanding (see memo dated December 20, 1983, Annex G), given the establishment of the PEC in Lusaka, the active involvement of additional GRZ entities, and the collaborative nature of the project, it is essential that ISU recognize the locus of project implementation in Lusaka. Accordingly it is recommended that:

- (a) Development of annual workplan must take place in Lusaka rather than Ames with ISU bringing appropriately qualified work team.
- (b) ISU Ames must permit effective day-to-day management of the project to take place in Lusaka by delegating all necessary authority to the COP and provide only professional advisory and support roles.
- (c) Procurement of services and goods requested by the appropriate entities in Lusaka are to be expeditiously implemented by ISU Ames in its support capacity.

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In addition, the evaluation team, taking into consideration comments and concerns made earlier in this evaluation, makes the following recommendations and comments regarding ISU's overall management responsibilities regarding provision of long-term technical assistance personnel in Lusaka:

- (a) ISU Ames provide a properly qualified senior economist, satisfactory to AID and GAZ, no later than August 1984 in Lusaka, failing which AID/Zambia can procure such services on PSC basis.
- (b) Despite laudable efforts on part of Lusaka based mid-level long-term staff, the team expresses dismay at the fact ISU failed to provide any of the eight individuals identified as middle-level candidates in th ISU proposal and that the newly nominated candidate for the Chief of Party is notably unqualified under the terms of the Scope of Work in PP (PP-Annex G 1).

III. OVERALL ASSESSMENT:

This section will examine the overall effects of the project, planned and unplanned, provide summary information on outputs and inputs, and make overall recommendations regarding the project.

The project is in the process of achieving planned effects in the case of MAWD. The detailed review of outputs shown in Section II-2 and 4 indicates the extent of analyses and training activities (see Annexes D, E&F for details). The project has had more activities with UNZA than envisaged in the PP because of ISU's and UNZA's mutual desire to have stronger institutional links, there are a number of activities such as assisting in the studies leading toward the establishment of a BS and MS in Ag Econ and strengthening the MA in Econ, provision of visiting lecturers, and working through UNZA to put on a price, trade and market intervention course for SADCC participants. The project also have had planned effects which have until now been difficult to achieve, including close relationship with NCDP, CSO and MOF. These activities have only just now become fully operational. However, the evaluation team finds all activities to date to be largely consistent with the project goal and purposes as stated in the PP.

In terms of overall achievement of project outputs and inputs as projected in the logical framework matrix of the PP (ss PP Annex A pp. 2 and 3) it should be noted that all targets listed there were for the five year project. Nevertheless, seven policy studies have been completed (of 15 projected), 15 long term participants have been sent (of 35 projected), 14 short term participants have been sent for 42 pm (of 180 pm projected), 129 in-country participants have participated in seminars and training courses (of 4-500 projected) and 8 workplans and guidelines have been prepared (of 15-20 projected).

In terms of inputs the following amounts of funding have been spent (3 year targets from logframe in brackets):

	<u>US \$000</u>	<u>As of 12/31/83 from ISU and RFMC data</u>
Technical Assistance	822	(2,025)
Training	535	(1,222)
Commodities/Supplies	277	(427)
Contingency/Inflation/ Other	<u>249</u>	<u>(1,111)</u>
	1,883	(4,785)

In gross terms, the project has utilized 40 percent of the projected inputs during 47 percent of the projected three year life of project. Although certain costs, such as training can be expected to expand, the project would appear to have roughly adequate resources to complete the first three years of implementation, through approximately December 1985.

The evaluation team's overall recommendation:

RECOMMENDATION: In view of the basis of analysis, training and institutional development that has taken place in GRZ institutions (especially MAWD) and given the positive GRZ policy atmosphere related to the agricultural sector, it would be highly disruptive to GRZ momentum in the agricultural sector and detrimental to GRZ/AID relationships in general to consider termination of this project. On the contrary, given revived interest by NCDP and CSO the opportunities for achieving the original objectives of the PP are greatly enhanced and the additional inputs in years 4 and 5 could be directed more toward them. Thus, the evaluation team recommends that the 4th and 5th years of the PP be funded up to the projected level of \$4,970,000 for a life of project total of \$9,755,000 and include any activities for which the locus of decision making is firmly established in Lusaka. A revised budget should be developed for years 4 and 5 to modify that shown in the PP (page 27).

SCOPE OF WORK
FOR THE FIRST FULL-SCALE EVALUATION

PROJECT: ZAMBIA AGRICULTURAL TRAINING, PLANNING AND INSTITUTIONAL DEVELOPMENT (611-0075)

1. Institution Building, Institutional and Professional Linkages:

a) Assess progress in institutionalization of planning and policy analysis capability in relevant units of GRZ in the following major areas.

- Upgrading the skills of PD staff
- Staffing and organization of relevant units of GRZ including communication and teamwork
- Work planning and priority determination
- In-service training
- Computer and data development

b) Assess the contribution by the project in strengthening linkages among the following institutions: The Planning Division and the rest of Ministry of Agriculture and Water Development (MAWD), University of Zambia (UNZA), NCDP, Central Statistics Office (CSO), Rural Development Studies Bureau (RDSB), and Ministry of Finance and the Provincial authorities and make recommendations for improvement if needed.

c) Assess financial and professional incentives for retention of personnel and make recommendations, if needed.

2. Collaborative Policy Analysis:

a) Assess the completed policy analyses, indicating strengths and weaknesses and making recommendations for their improvement if needed.

b) Review the 10 sub-sector or problem areas for collaborative policy analyses specified in the PP and determine what, if any, changes are needed.

c) Assess the extent to which policy analyses have been realized collaboratively and make recommendations if needed, for increasing GRZ participation.

d) Assess the extent to which completed policy analyses are being adequately disseminated and discussed and make appropriate recommendations.

3. Technical Assistance:

Assess the quality of ISU resident and short-term technical assistance and make recommendations, if needed, for improvement.

4. Training:

a) Participant Training:

1. Interview returned participants and discuss with appropriate GRZ officials who have received information concerning U.S. Training in order to assess the training provided to date and make recommendations.
2. Review the procedures for selection of participants of the PE Committee and make recommendations for improvements if needed.
3. Evaluate the extent to which completed analyses have led to the selection of trainee.
4. Review of the appropriateness of training being supplied in the U.S.

b) In-Country Pre-Service and In-Service Training:

1. Assess the progress achieved through IFG/UNZA collaboration in this area.
2. Assess the in-service training provided by the various project entities.

5. Donor Coordination:

Assess the extent of needed donor coordination in assisting the GRZ in agricultural analysis, planning and management and make appropriate recommendations.

6. Data Collection, Data Processing, Information Storage, Retrieval and Flow:

- a) Assess progress realized in identifying relevant data needs, priority activities, and the role of computer activities at MAWD and UNZA and make appropriate recommendations.
- b) Assess the need for the procurement of computers within the project.

7. Overall Management:

a) AID/Zambia Management:

Assess the ongoing management, current and future management demands, and make the appropriate recommendations.

b) GRZ Management:

Assess the support for, and understanding of the project at GRZ leadership level and make appropriate recommendations.

c) ISU Project Management:

Same as (a) above.

Recommendations by Action Agent

AID/GRZ/ISU

<u>Section of Evaluation</u>	<u>Agent</u>	<u>Timing</u>
II-1. PD should improve its internal communications and coordination through a common annual work plan and periodic staff meetings. The post of Deputy Director of Planning should be filled. The DDP should have the function of coordinating the work of the various sections in PD and should carry out liaison with other wings of MAWD.	GRZ	31 July '84
II-1. USAID must take the initiative in stimulating participation on the part of Ministry of Finance. Representation by the Ministry of Finance on a level equal to NCDP, UNZA and MAWD in the PEC should be encouraged.	GRZ	30 April '84
II-1. The PEC should be expanded to include the Ministry of Cooperatives (represented at a high level) and the Ministry should be eligible for appropriate project-funded training and consultants.	GRZ	30 June '84
II-1. In-service management training by ISU for MAWD should continue and be expanded to other entities as appropriate.	ISU	Continuing
II-1. USAID must take the initiative in stimulating participation on the part of Ministry of Finance. Representation by the Ministry of Finance on a level equal to NCDP, UNZA and MAWD in the PEC should be encouraged.	AID	30 April '84
II-1. The PEC should initiate a study on staff retention in the agricultural sector to	GRZ	30 June '84

identify possible changes in employment conditions to enhance staff continuity.

- | | | | |
|-------|--|-----|--------------|
| II-1 | USAID should indicate willingness to make available counterpart funds to support recommendations of the above PEC study. | AID | 30 June '84 |
| II-2 | Policy analyses should be relevant to changing GRZ policy needs, including any new agricultural sector strategy; the project's illustrative list of problem areas should continue to be interpreted flexibly; the PEC should give favorable consideration to authorizing a study of the recurrent costs of agricultural sector investment projects. | GRZ | 30 Sept. '84 |
| II-2 | Short-term consultants should be considered for increased use in the collaborative design phase of policy analyses; for the execution phase they should be better briefed and stay longer to assure collaborative writing and discussion with GRZ officials of the draft report. | ISU | Continuing |
| II-2 | The PEC should review quarterly the status of compliance with the new agreed procedures for timely discussion, acceptance, dissemination and implementation of project policy analyses. | GRZ | Continuing |
| II-3 | That since the necessity to obtain the services of a properly qualified senior economist is evident for technical leadership and high level policy dialogue, and ISU has been unable since the inception of their cooperative agreement (dated October 1, 1981) to provide such an individual, USAID should consider obtaining the required services on a long term PSC. | AID | Continuing |
| II-4. | Recognizing that it will take time, collaborative policy analyses should be used more fully to identify GRZ skill deficiencies and corresponding training needs. | ISU | 30 April '84 |

- II-4 Recognizing that it will take time, collaborative policy analyses should be used more fully to identify GRZ skill deficiencies and corresponding training needs. GRZ Continuing
- II-4 ISU must consider the priority recommendations of the PEC regarding training sites and subjects other than at ISU; evaluation of trainees by PEC or their delegate in the US should be made after one semester to reconfirm that the prescribed course of training is feasible for the participant and, or not, the course of training (and perhaps the location) should be modified. ISU Continuing
- II-4 Creation and staffing of Ag Econ and MA in Econ courses appear to lie beyond the scope and capacity of the PP. Any further funding considered for UNZA (with the exception of RSDB) should be subject to a thorough assessment of the advantages of and the resources available for providing BS and MS degrees in Ag Econ and strengthening the MA program in Econ and UNZA. UNZA faculty would be encouraged to participate in any in-country or in-service training provided by the project and would be eligible for long-term graduate training. AID 30 July '84
- II-6 That the diagnosis and proposed corrective measures be carefully examined and assessed by AID/Zambia, and if accepted, be considered for initial implementation in the present project. Simultaneously, AID/Zambia should seek population fund to support those aspects of GSO activity that appropriately fall outside the objectives of this project. AID 30 June '84
- II-7 (a) The formal participation of the mission agricultural economist in the monitoring of the project in the areas of data collection, processing and policy analyses; AID 30 April '84

- | | | | |
|------|---|-----|--------------|
| II-7 | (b) Given the availability of grant CIP-generated counterpart, AID/Zambia should examine opportunities in the project to substitute counterpart Kwacha for those bought by U.S. dollars. | AID | 30 June '84 |
| II-7 | Development of annual workplan must take place in Lusaka rather than Ames with ISU bringing appropriately qualified work team. | ISU | 31 Dec. '84 |
| II-7 | ISU Ames must permit effective day-to-day management of the project to take place in Lusaka by delegating all necessary authority to the COP and provide only professional advisory and support roles. | ISU | 30 April '84 |
| II-7 | Procurement of services and goods requested by the appropriate entities in Lusaka are to be expeditiously implemented by ISU Ames in its support capacity. | ISU | 30 April 84 |
| II-7 | ISU Ames provide a properly qualified senior economist, satisfactory to AID and GRZ, no later than August 1984 in Lusaka, failing which AID/Zambia can procure such services on PSC basis. | ISU | 31 Aug. '84 |
| II-7 | Despite laudable efforts on part of Lusaka based mid-level long-term staff, the team expresses dismay at the fact ISU failed to provide <u>any</u> of the eight individuals identified as middle-level candidates in the ISU proposal and that the newly nominated candidate for the Chief of Party is notably unqualified under the terms of the Scope of Work in PP (PP-Annex G 1). | ISU | |

PROJECT ACTIVITIES AND PERSONNEL IN 1983-84 WORKPLANS
 (by four objectives of project)

	<u>Activity</u>	<u>ISU Personnel</u>
A.	<u>To Improve the Data Base</u>	
1.	Establish planning resource center	.
	a. 1983 (I-2): Plan for PD Center	Warren
	b. 1984 (Ib): Establish PD center; help NCDP & MOF plan for center	Warren
2.	Improve data base on small farms	
	a. 1983 (III-2): Inventory and planning	Warren
	b. 1984 (Ic): Conduct field surveys	Warren
3.	Improve usefulness of PD outputs	
	a. 1983 (I-1): Inventory and analysis	Warren
	b. 1984 (Id): Survey, report, workshop	Warren
4.	Develop farm household data base	Warren, Rawson McGranahan and ST Specialists
	1984 (Ia): Plans and surveys	
B.	<u>To Improve and Utilize Capabilities for Policy Analyses</u>	
1.	Develop computerized data system	
	a. 1983 (III-1): Assess needs, prepare plan	Rawson, Verma, McGranahan + ST
	b. 1984 (IIa): Training, acquire software, put system into operation	McGranahan and ST specialists
2.	Develop regional production and pricing models	
	a. 1983 (II-2): Plans, work with Dutch team, training, model runs	McGranahan, Maleka and ST
	b. 1984 (IIc): Develop crop budgets and regional LP models, do price impact analysis	McGranahan and LP specialist
3.	Plan role of PD in preparation of FNDP	McGranahan and Fletcher
	1983 (I-3): Prepare plan for discussion	
4.	Workshop on investment programming and sector analysis	
	1983 (II-6): Plan and conduct course	Warren and ST
5.	Develop storage/transportation model	
	1984 (IIb): Determine optimal solution; discuss paper at workshop	McGranahan and ST specialist

- C. To Develop an Overall Strategy and Identify Priorities
1. Assess ag. input needs and supply systems
 - a. 1983 (II-3): Develop scopes of work, do LP runs, prepare fertilizer report Rawson and McGranahan
 - b. 1984 (IIIc): develop plans; conduct fertilizer, lime, herbicide and farm machinery studies and workshop Rawson and Ginder
 2. Analyses of ag. finance system
 - a. 1983 (II-1): Inventory, plans, overview paper, fertilizer financing, info system Rawson, Maleka and ST
 - b. 1984 (IIIId): Guidelines and seminar for ZADB; ag credit study and workshop Rawson and ST
 3. Determine small farmer crop patterns and input constraints
 - a. 1983 (II-4): Inventory, plans, studies Warren, Rawson & ST
 - b. 1984 (IIIe): Survey, report and seminar on cassava and millet Rawson and ST
 4. Assess donor approaches and develop standardized approach to IRDPs and ADPs
1984 (IIIa): Complete donor report and hold workshop; analyze different approaches and develop std. approaches and strategy Warren and ST
 5. Develop standardized approach to ag project cycle
1984 (IIIb): Inventory, paper, workshop Warren and ST
- D. Training and Human Resource Management
1. In-service training on price, trade and market intervention policies
 - a. 1983 (II-5): Involve UNZA, develop and conduct course for GRZ officials Warren and Fletcher
 - b. 1984 (IVa): Revise course and conduct second course for SADCC officials; PD survey of SADCC price policy Fletcher, McGranahan and ST
 2. Staff training plans and in-service training
 - a. 1983 (IV-1): Assess PD needs, process LT/ST candidates, design and conduct training Warren, McGranahan and ST

- D
- 2. b. 1984(IVc): Develop similar training plans for NCDP, CSO, MOF Warren
 - c. 1984 (IVd): Staff training in math, microcomputers, mgt, and devel. planning; process LT/ST Trainees McGranahan Rawson, Warren and ST
 - 3. Develop ISU/UNZA program to improve ag economic degree and in-service training
1983 (IV-2): Work with GRZ user agencies and UNZA to develop proposals for faculty exchange, in-service courses and staff development Warren, Fletcher and ST
 - 4. Workshop on ag project cycle
1984 (IVb): Part of IIIb.(See C.5) Warren
 - 5. Training of IRDP and ADP staff
1984 (IVe): Identify needs, collaborate with existing training institutions, design syllabus, train trainers, assist in district training Warren

Summary of Activities by Objective

	<u>1983</u>	<u>1984</u>
A. Improve Data Base	3	4
B. Policy Analyses	4	3
C. Strategy and Priorities	3	5
D. Training	<u>3</u>	<u>5</u>
TOTAL	13	17

No. of Activities of Resident ISU Advisors

	<u>1983</u>	<u>1984</u>
Warren	8	10
McGranahan	5	6
Rawson	<u>4</u>	<u>5</u>
TOTAL	17	21
Plus Fletcher	3	1
Others mentioned	<u>3</u>	<u>1</u>
GRAND TOTAL	23	23

NOTE: 1983 activities distributed by objectives used in draft 1984 Workplan; 1983 Workplan (dated February 1, 1983) states that it covers period of September 1982 through August 1983; during September - December, 1983 there was a transition from the 1983 to the 1984 Plan.

RELATION OF PROJECT ACTIVITIES AND MAJOR STUDIES IN TEN
PROBLEM AREAS IN PROJECT PAPER

<u>TEN PROBLEM AREAS</u>	<u>MAJOR STUDIES</u>	<u>ACTIVITIES</u> ^{1/}
1. a Review of studies	Surveys by RDSE	1½:A.1+A.3 (½)
b Donor activities	IRDPs	1½:C.5+C.4 (½)
2. Agric. statistics	Computer Needs	2:A.4+B.1
3. Rural population	Surveys by RDSE	1:A.2
4. Small Farmers	Groundnuts; IRDPs	2½:C.3,D.5+ C.4 (½)
5. Agric. pricing	Regional pricing	2:B.2+D.1
6. Agric. resources and costs		1:B.4
7. Fertilizer	Fertilizer	1:C.1
8. Agric. Credit	Agric. Finance ZADB Guidelines	1:C.2
9. Transportation, storage & marketing	(Part of most studies)	1:B.5
10. Measures to develop ag. sector strategy		½:A.3

^{1/} Project activities as listed by four objectives in previous Annex but excluding two general training activities (D.2+D.3), a workshop (D.4) included in another activity (C.5) and a 1983 activity (B.3) that has been postponed.

ZATPID TRAINING

NO.	CANDIDATE	CPA INSTITUTION	PROFESSION	STATUS	UNIVERSITY	FIELD/COURSE	DEPARTURE DATE	RETURN DATE	PROF. NO.
1.	KATONGO KATONGO	PD/MAWD	X		Colorado	Economics Institute	3/13/83	8/16/83	28
	KATONGO KATONGO	PD/MAWD		X	LSU	MA - Ag. Economics	8/16/83		28
2.	SUBA RICHARD	PD/MAWD	X		Colorado	Economics Institute	3/13/83	8/16/83	26
	SUBA RICHARD	PD/MAWD		X	LSU	MA - Economics	8/16/83		26
3.	ITPAMBOH ERNEST	PD/MAWD	X		Georgetown	Project Procurement	3/17/83	4/16/83	29
4.	MULALA K.	PD/MAWD	X		Georgetown	Investment Negotiation	5/4/83	7/5/83	30
5.	JERE A.J.	CSO	X		Dept. Commerce	National Accounts	5/4/83	9/2/83	37
	JERE A.J.	CSO		X	George Washington	MA - Soc/Econ Stat.	9/2/83		37
6.	SIPULA K.	RDSB/UNZA	X		Colorado	Economics Institute	6/1/83	8/16/83	34
	SIPULA K.	RDSB/UNZA		X	ISU	MA - Ag. Economics	8/16/83		34
7.	MUPIMPILA C.	HSS/UNZA		X	U. Illinois	PhD - Ag. Economics.	8/14/83		36
8.	CHILONGO G.	AG/UNZA		X	ISU	PhD - Rural Soc.	8/14/83		35
9.	MUDENDA T.	RDSB/UNZA		X	ISU	PhD - Ag. Economics	8/14/83		33

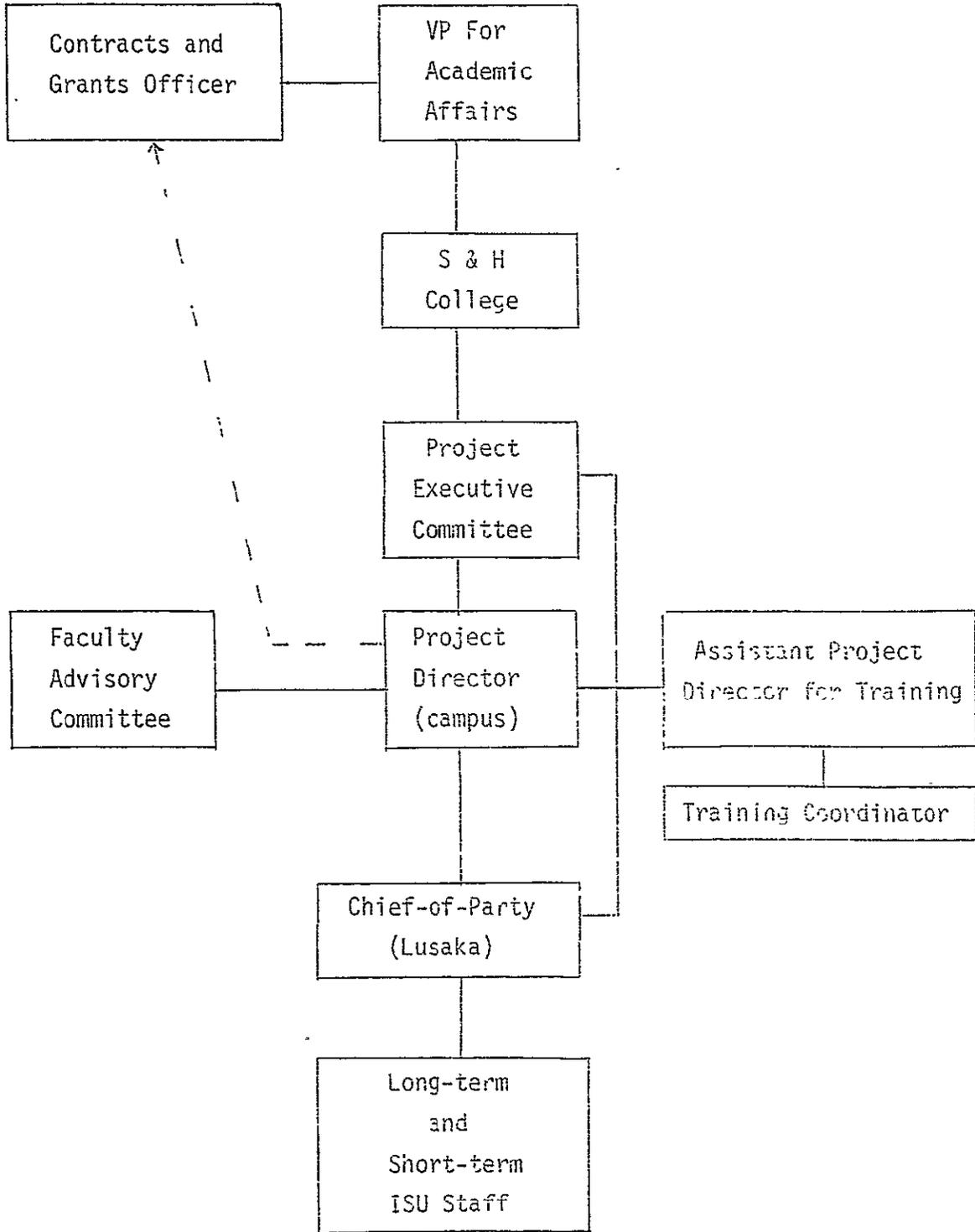
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NO.	SURNAME	GEN. CATEGORICAL	SHORT-COURSE	ACADEMIC	COUNTRY	INSTITUTE	ENTRY DATE	GRADUATION DATE	PROF. NO.
10.	SIMBANYA FELIX	PD/MAWD	X		Colorado	Economics Institute	6/1/83	8/16/83	31
11.	MUCHINDU SPLICE	PD/MAWD	X		Colorado	Economics Institute	6/1/83	8/16/83	31
12.	SIMBANYAMBE C.M.	PD/MAWD	X		USDA	Data Analysis	5/27/83	8/26/83	38
	SIMBANYAMBE C.M.	PD/MAWD		X	Makerere	BS - Stat	10/83	10/86	41
13.	SICHONE S.E.	NCDP	X		Colorado	Economics Institute	6/1/83	12/16/83	39
	SICHONE S.E.	NCDP		X	Colorado State	MA - Economics	1/15/84		39
14.	MULEYA C.	NCDP		X	ISU	MA - Economics	8/15/83		40
	MULEYA C.	NCDP	X		Colorado	Economics Institute	7/7/83	8/15/83	40
15.	Nonde B.	Finance	X		Colorado	Economics Institute	9/25/83	12/12/83	41
	Nonde B.	Finance		X	ISU	MA - Economics	1/15/84		41
16.	Mwanza W.	NCDP	X		Colorado	Economics Institute	9/25/83	12/12/83	42
	Mwanza W.	NCDP		X	ISU	MA - Intern. Devel.	1/15/84		42
17.	8 PARTICIPANTS*	CSO		X	U. Dares-Salaam	Intermedial Diploma in Statistics	7/2/83	4/2/84	

* K.S. Banda, P.D. Sikazwe, N.M. Tambuzi, A.O. Mulambwe, F.R. Chiyala, P.K. Tembo, C. Malumbe, B.C. Mtonga.

Internal ISU Project Management Chart



Project Executive Committee

- composed of: Chair, Department of Economics
Chair, Department of Sociology and Anthropology
Chair, Department of Community and Regional Planning
Project Director
- meets regularly on a monthly basis and for special meetings as required
- functions as key policy and executive body for the project, reviewing recommendations from the Project Director and chief-of-party and making recommendations to the University Administration.

Project Director

- serves as overall "professor-in-charge"* of project for ISU
- serves on project executive committee
- chairs campus faculty advisory committee
- supervises campus project staff, project secretary, and project office
- approves vacation and work schedule for chief-of-party
- approves international (non-vacation) travel requests and expense vouchers for Lusaka and campus staff
- prepares combined campus and in-country quarterly implementation reports and budgetary reports
- in conjunction with Project Executive Committee/Ames, recruits long-term and short-term positions in-country based on job descriptions approved by the PEC/Lusaka and suggestions submitted by chief-of-party
- pursuant to both PEC's carries out long-term project planning and budgeting and preparation of reports and proposals for the project
- reports to Project Executive Committee according to project management chart

*"professor-in-charge" refers to the primary contact person in the university for the project.

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ANNEX G

January 6, 1984
Lusaka, Zambia

STRENGTHENING THE MANAGEMENT AND IMPLEMENTATION
of the
ZAMBIA AGRICULTURAL PLANNING PROJECT

Introduction:

The following material is based on a draft prepared by R. Beneke, G. Klonglan, and L. Fletcher in November 1983. The draft proposals were developed following the project review sessions with AID and GRZ held in Ames in August 1983 through extensive discussions held on campus. The purpose of the proposals was to clarify the questions that had been raised and to facilitate the continued progress by the project. They were developed in the spirit of full collaboration with, and mutual benefit for, all parties in the project as stated in the Cooperative Agreement for the project. The draft proposals were thoroughly discussed in Lusaka when Drs. Christensen, Kelly, Beneke, Klonglan and Fletcher met with USAID, ISU/Lusaka, and GRZ staff December 6-14, 1983. This document represents the modified draft proposal which has been approved by USAID, GRZ and ISU.

1. Communications and Coordination

This is a complex project, involving several participants and several levels in each participating institution. The collaborative approach that has been agreed to by all parties requires that concerted, continuous, and good-faith efforts be exercised to keep all parties well-informed.

- a) Overall project coordination requires that all regular communication between Ames and Lusaka be directed through the project director on campus and the chief-of-party in country.
- b) Reliance on the telex for day-to-day communication and the pouch for documents, letters and other project papers should continue. A monthly telephone conference between the chief-of-party in country and the project director and executive committee on campus has been recommended and approved.

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The chief-of-party will return to the campus at least once each year for consultations.

- c) The university chief-of-party will be the main point of contact in Lusaka between the University and USAID and the GRZ. The chief-of-party will serve as the official university representative on the Project Executive Committee (PEC)/Lusaka.
- d) ISU long-term and short-term staff will be responsible to the ISU chief-of-party for all professional, personnel and administrative matters. These staff members will also have direct working relationships with their Zambian counterpart technicians and supervisors in the agencies in which they are assigned on a full-time or part-time basis. In turn, they will keep the chief-of-party fully informed of their work activities and all developments affecting their work performance.
- e) To enhance full participation in the project, open lines of informal communication will also be maintained between the project director and executive committee on campus and USAID/Lusaka and key Zambian personnel in Lusaka. However, these communications will be used to exchange ideas, express opinions, and identify issues for further discussion and not to circumvent normal project implementation and management procedures.

2. Internal ISU Project Management

Iowa State will continue to manage this project based on ISU's institutional philosophy and precedents developed in previous successful projects. The attached management chart and job descriptions specify more clearly:

- the composition and role of the project executive committee
- the authority and duties of the project director
- the authority and duties of the chief-of-party in Lusaka
- the function of the assistant project director for training
- the duties of the training coordinator

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4. Other Project Staff

The needs of the project can better be met by having at least four long-term staff members in residence in Lusaka. Efforts will be made to fill these positions with tenure-track faculty from ISU at the earliest appropriate time.

5. Participation of Campus-Based Faculty and Graduate Students

During academic year 1983-84, efforts will be made to substantially augment on-campus backstopping and involvement in the project. As the university enlarges the number of its faculty who have actual in-country experience and it achieves a "critical mass" in Zambian participant trainees, much more can be achieved. Joint working groups will be established around key problem areas that would integrate both Zambian and ISU staff and graduate students, on-campus as well as in Zambia. A suggested set of areas for the working groups is:

- 1) Natural resource inventory, agricultural production potential, and rural infrastructure;
- 2) Farming systems and regional production patterns;
- 3) Product marketing and input supply institutions and systems;
- 4) Rural financial markets and agricultural credit institutions;
- 5) Integrated rural development approaches and projects;
- 6) Agricultural sector planning: strategy, policies and priority programs for the Fourth National Development Plan.

6. Short-term Assignments

ISU has gotten off to a good start with the short-term assignments to date that have involved Beneke, Klónglan, Grosvenor, Boehlje, Fletcher, Ginder, Prescott, Fosu, and Blid. The campus arrangements for Pounds for January-June 1984 are completed. There is need, however, to better identify needs and establish priorities for short-term assignments within the annual work plan and with as much lead time as possible.

This will eliminate some of the ad hoc character of short-term assistance requests and make it possible to obtain the participation of qualified campus staff.

The need for long-term planning is especially critical in campus efforts to recruit senior ISU faculty for the project. Some key planning constraints at ISU relate to the University calendar year and the timing of planning decision dates during the university year.

a. The University Calendar

- (1) Fall Semesters usually are August 20 - December 20
- (2) Spring Semesters usually are January 15 - May 20
- (3) Most flexibility is summer: May 20 to August 15
- (4) Some flexibility December 20 to January 15 (winter break)

b. Faculty Improvement Leave Planning

Faculty interested in a sabbatical for the August 1985 to May 1986 academic year must submit their proposal program by September 1, 1984. Department chairs must recruit faculty for FIL consideration during the January 1984 - May 1984 period.

c. ISU Strengthening Grant Planning

Summer is the best time for ISU Senior Faculty to go to Zambia for a 2-month period. Ideally faculty and departments should have decided on summer 1984 Strengthening Grant Programs by September 1983. This would allow a faculty proposal to be submitted to the ISU Strengthening Grant Committee (through department and college offices) in September. The faculty member could then begin a Zambia Orientation and Training Program October 1 (beginning of new federal fiscal and program year). The faculty member could be an active member of a Joint Working Group developing training materials, analyzing data, etc. From October 1 to May 20 this work would be done by the faculty member while on regular ISU payroll.

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Chief-of-Party

- serves as chief representative of ISU to GRZ and USAID/Lusaka
- articulates doctrinal philosophy of project in building planning institutions and strengthening analytical capabilities in GRZ
- supervises implementation of all project activities in-country
- initiates and supervises planning of in-country work activities
- in conjunction with long-term staff, initiates recommendations to the PEC in Lusaka for long-term and short-term technical assistance and recommends potential candidates
- pursuant to both PECs carries out long-term project planning and budgeting and preparation of reports and proposal for the project
- prepares monthly and quarterly project implementation reports
- approves vacation, in-country travel, and work schedules for long-term and short-term ISU staff
- has responsibility for substantive work areas as specified in project plan of work
- reports to campus in accordance with project management chart

Assistant Project Director for Training

- a senior faculty member with overall responsibility for all participants training under the project
- reviews all training objectives submitted by the PEC in Lusaka
- identifies appropriate training institutions to implement approved training programs
- monitors progress of trainees
- evaluates training programs of all trainees and makes recommendations to the PEC/L for future trainee selection and programs

Training Coordinator

- coordinates all arrangements necessary for implementation of selected trainee programs

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- in conjunction with Assistant Director for Training, handles placement of trainees in selected training programs
- assists Assistant Project Director for Training in evaluating progress of ongoing training programs
- maintains flow of information to project leadership on status and progress of all trainees
- maintains flow of current training information to trainees
- works under supervision of Assistant Project Director for Training

Faculty Advisory Committee

- appointed for one-year terms effective September 1 of each year
- drawn from faculty of departments and colleges participating in project.
- advises Executive Committee on policy and staffing
- reviews progress of project and suggests improvements implementation.
- meets at least twice each year

3. Selection of Chief of Party

The best interests of the project will be served by assigning a new Chief-of-Party as early as possible in 1984 who, to the greatest extent possible, meets the following criteria:

- a) A senior faculty member from ISU with experience and understanding of agricultural planning and policy analysis and knowledge of planning organizations and processes.
- b) Training in agricultural economics, economics, or closely related fields.
- c) Successful experience working in interdisciplinary planning programs in university and public-sector environments.
- d) Demonstrated managerial and interpersonal skills.
- e) Relevant experience in overseas environment.

Iowa State must provide matching dollars during the academic year so AID Strengthening Grant funds can be made available to cover the faculty member's summer salary (say two months), travel to Zambia, and per diem costs while in Zambia. AID/Lusaka has to approve the ISU faculty member's Strengthening Grant proposal before the faculty member will be allowed to travel to Zambia. These short-term assignments by senior faculty would hopefully provide a positive experience so they would later consider a long-term FIL/Fulbright or long-term project assignment.

Conclusion

The procedures and relationships outlined in this document will be reviewed periodically to assess their effectiveness. They will be adjusted when necessary upon agreement by GRZ, USAID and ISU.

TERMS OF REFERENCE OF PEC

Title of Committee: Agricultural Planning Project, Executive Committee.*

Purpose of Committee: To provide a means to coordinate and approve actions necessary for implementing GRZ/USAID Project 611-0075 - Agricultural Training, Planning and Institutional Development.

Functions:

- Develop and/or review annual project work plans and budgets and; coordinate and assure approval of the members respective organizations.
- Coordinate and assure approval of GRZ budget allocations for the project by appropriate authorities.
- Review progress of project.
- Review and approve terms of reference for all analyses, studies and surveys to be financed by the project.
- Develop and/or approve long-term and short-term annual training plans and selection criteria.
- Select and/or review and approve candidates for long-term training.
- Develop and/or approve evaluation plans and participate in review of evaluations.
- Assure that appropriate supporting actions required to execute the project are taken by their respective Ministries/organizations. e.g., assignment of counterparts, survey personnel, logistics, supplies and transport, etc.

Participants:

Members of the Committee have the necessary authority to represent his/her organization and to coordinate and assure approval of his/her organization on all plans, budgets and any other actions before the Committee. The AID Representative will provide AID views, advice on appropriate use of AID funds and recommend actions. All AID approvals for all actions contemplated by the project must be approved in writing.

* Terms of reference were approved at the 1st Committee Meeting December 5, 1983.

The Members of the Committee will be:

National Commission for Development Planning (NCDP)
Ministry of Agriculture and Water Development (MAWD)
Ministry of Finance (MOF)
University of Zambia (UNZA)
ISU/Lusaka
AID/Zambia

The MAWD representative is designated the Executive Secretary and will chair all meetings. The representative of other institutions may be called upon to attend meetings by the Committee as appropriate.

Meetings:

Regular meetings will be held not less than once each month and will be called by the Executive Secretary. The members will be notified personally of date, time and location of each meeting at least five working days in advance. Normally meetings will not be held unless all principals can attend.

Exceptions will be made only if substitutes are delegated the same authority as the principals in writing for the period of the substitutions.

Special Meetings:

Special meetings may be called by any member with the concurrence of the Executive Secretary.

Agenda:

Written agendas (and all supporting documents) for regular meetings will be personally given to members at least five working days prior to the meeting.

Procedures:

The Committee will develop its own operational procedures but in general it is expected to make decisions on the basis of consensus.

Policy Guidance:

The Committee will be guided in all its deliberations and actions by the "Project Agreement" between the Government of the Republic of Zambia and AID dated September 26, 1980, and other supporting project documents. In particular, the criteria for all activities which is included in the Project Agreement, Annex I, Article I.C. will be applied to all actions.

GRZ/AID Agricultural Planning Project Executive Committee
Membership:

UNZA	Dr. Ben Mweene, Deputy Vice Chancellor
MAWD	Mr. Francis Mbeve, Director, Planning Division, MAWD
NCDP	Mr. James M'Tonga, Director, Economic and Technical Cooperation, MCDP
Ministry of Finance	Executive Secretary will request official representative from Permanent Secretary, Ministry of Finance
ISU	Dr. D.M. Warren, Chief of Party, Iowa State University
USAID	Mr. Fred Perry, Project Officer
USAID	Ms. Asina Sibetta, Training Officer

December 15, 1983
Lusaka

GRZ PROCEDURES RE

ZAMBIA AGRICULTURAL PLANNING PROJECT

At meetings with representatives of GRZ, USAID and TSU in December 1983, the following procedures were agreed to and adopted for the Zambia Agricultural Planning Project.

A. PROCEDURES FOR SECURING GRZ INVOLVEMENT IN PROJECT STUDIES AND REPORTS

- 1) Major project work activities will be approved by the Project Committees in Lusaka and Ames.
- 2) Major proposed studies and project activities will have plans of action designed by inter-institutional GRZ advisory teams;
- 3) Major studies will be carried out by inter-institutional GRZ analysis teams with short-term consultants provided through the project when appropriate;
- 4) Draft reports with recommendations will form the bases for seminars or discussions with a wider array of GRZ officials who provide feedback and suggestions for an improved final draft;
- 5) The final draft incorporating recommendations from the seminars and/or discussions forms the basis for securing a full or partial acceptance of the report by the Planning Division at MAWD (See Section B).

B. PROCEDURES FOR SECURING TIMELY GRZ ACCEPTANCE OF PROJECT REPORTS

- 1) After the final draft of a report has been submitted to the Director of Planning, written reactions to the report regarding its acceptability should be provided within a reasonably short time so that information can be transmitted to USAID and the members of the study team. If amendments are deemed necessary, the study team leader will arrange for these. The Chief-of-Party will assure coordination of these activities.

- 2) Once the report has been received by MAWD as a completed product of the study, it will be the responsibility of the project in consultation with relevant GRZ authorities to have the report produced by the PD so it is available to appropriate GRZ staff and institutions. The procedure for acceptance of a report begins with the Director of Planning passing the report with his comments and recommendations to the Permanent Secretary, who has the authority to accept or reject a report. If a report is accepted, recommendations are passed on to policy-makers such as the Cabinet for implementation guidelines to be established.

C. PROCEDURES FOR SECURING PERMISSION TO PUBLISH PROJECT REPORTS AT ISU

- 1) MAWD will seek appropriate authorization from the government to publish project reports and studies in appropriate monograph series at Iowa State University.
- 2) The procedure to secure formal permission to publish a version at ISU is as follows:
 - (a) The given report must have been accepted by MAWD;
 - (b) Once approved, the report which is to be published will be sent with a letter from the Permanent Secretary at MAWD to the Secretary of the Cabinet asking for official governmental permission and clearance that the given report be published at ISU;
 - (c) Copies will be sent from ISU to GRZ for inclusion in a number of established libraries such as UNZA, Mt. Makulu, and the new library at the Planning Division at MAWD.

* E.g. A Fertilizer study report discussion group could comprise key representatives of MAWD, Cooperatives, NAMBOARD, NCZ, and Zambia Cooperative Federation.