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DPMC

Development Program Management Center

An international cooperation and resource center that supports program design and management in developing countries.

INTERIM REPORT:

PRE-IMPLEMENTATION PLANNING FOR
MALAWI'S AGRICULTURAL RESEARCH, EXTENSION AND PLANNING SUPPORT PROJECTS

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Office of International Cooperation and Development
Technical Assistance Division

In cooperation with the

U.S. Agency for International Development
Bureau for Science and Technology
Office of Rural and Institutional Development

1



November 18, 1985

TO: See Distribution List

FROM: Merlyn Kettering *MK*

SUBJ: Interim Report on Pre-implementation Planning Consultancy
Malawi Agriculture Research and Extension Project Ministry
of Agriculture, Malawi and USAID/Lilongwe

Attached is the report of activities carried out for pre-implementation planning for the Malawi Agriculture Research and Extension Project (MARE) with the sponsorship of USAID/Lilongwe. The pre-implementation planning focussed upon MARE but also emphasized the program implications for the MOA, particularly with respect to how IDA financed projects, National Agricultural Research Project (NARP) and Agriculture Extension and Planning Support Project (AEPS).

Section 1, Executive Summary, provides an overview of the pre-implementation planning consultancy, highlighting accomplishments and follow-up actions. This section also provides the framework for understanding the rest of the report. The report includes important documents reflecting agreements reached and actions initiated. Section 2, Summary of Agreements, is the official MOA memorandum from the second start-up meeting and records decisions on Implementation Management and Coordination, including establishment to the Management (Steering) Committee and the Training Advisory Committee, two key committees for implementation.

The report covers a period for mid-August when planning for the consultancy began through October 16 when Merlyn Kettering left Lilongwe. During that period, the consultancy team provided services to the MOA in Lilongwe according to the following schedule:

David Levine	September 5-28
Merlyn Kettering	September 18 - October 16
Robert Johnson	September 14 - October 12
Gloria Steele	October 1 - early November

The team operated through different organizational mechanisms -- Robert Johnson on a Personal Services Contract; Gloria Steele on AID/W staff through a RSSA with USDA; David Levine on contract with the University of Maryland (International Development Management Center) through a Cooperative Agreement with DPMC; and Merlyn Kettering through AID's PASA with USDA/OICD/DPMC.



This is titled an interim report because pre-implementation planning will be an ongoing activity of the Ministry of Agriculture. Continuous management attention will be required to see that the projects are coordinated and effectively implemented to ensure the expected contributions to agricultural development in Malawi. The accomplishments required to meet the conditions of the grant and loans are only first steps of developing sound management processes for guiding and implementation this ambitious development program.

Distribution: Ministry of Agriculture (4)
USAID/Lilongwe (3)
AID/Washington (Pompa, Steele, Morris, North)
IDMC/UMCP (2)
OICD/USDA (5)
Robert Johnson (1)
David Levine (1)

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Research, Extension and Planning Support Projects

Team Members: David Levine, Merlyn Kettering, Robert Johnson, Gloria Steele,

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List of Acronyms

ACAO	Assistant Chief Agricultural Officer
ACPO	Assistant Chief Personnel Officer
ADD	Agricultural Development Division
ADO or DO	Agricultural Development Officer
ADMARC	Agricultural Development and Marketing Corporation
AEPS	Agriculture Extension and Planning Support Project (IDA)
AGREDAT	Agricultural Economics and Data Processing Unit
AID	Agency for International Development (U.S.)
APO	Agriculture Project Officer
ARC	Agriculture Research Council
ART	Adaptive Research Team
A-V	Audio-Visual
BES	Block Extension System
BIFAD	Bureau for International Food & Agriculture Development
CA	Chief Accountant
CAO	Chief Agricultural Officer
CARO	Chief Agricultural Research Officer
CAS(I)	Controller of Agricultural Services (Institutions)
CAS(NRDP)	Controller of Agricultural Services (NRDP)
CDSS	Country Development Strategy Statement (USAID)
CE	Conditions of Effectiveness (for IDA Loans)
CP	Condition Precedent (to USAID Grants or Loans)
CPrO	Chief Projects Officer, Planning Division
CTO	Chief Technical Officer
CTrO	Chief Training Officer, Training Unit
CVO	Chief Veterinary Officer
DAR	Department of Agriculture Research
DOA	Department of Agriculture
DPMC	Development Program Management Center (USDA)
DS	Deputy Secretary
DTC	Day Training Center
EAB	Extension Aids Branch
EDI	Economic Development Institute (World Bank)
EPA	Extension Planning Area
FA	Field Assistant
FC	Financial Coordinator
FHA	Farm Home Assistant
FSR/E	Farming Systems Research & Extension
GOM	Government of Malawi
HC	Host Country
IDA	International Development Agency
MARE	Malawi Agricultural Research and Extension Project (USAID)
M/SC	Management (Steering) Committee
MOA	Ministry of Agriculture
MOF	Ministry of Finance

NAR or NARP	National Agriculture Research Project (IDA)
NCRCU	National Commodity Research Coordinating Units
NRC	National Resources College
NRDP	National Rural Development Program
OICD	Office of International Cooperation & Development (USDA)
OPC	Office of The President and Cabinet
PD	Planning Division
PM	Program Manager
PMT	Personnel Management & Training
ProAg	Project Agreement (USAID Project)
PS	Principal Secretary
RDP	Rural Development Project(s)
RFMC	Regional Financial Management Center (AID)
RFTP	Request for Technical Proposal
RTC	Regional Training Center
SAL	Structural Adjustment Loan
SAO	Senior Administrative Officer
SMS	Subject Matter Specialists
SPMT	Specialist for Personnel Management & Training
STA	Senior Technical Assistant
STO	Senior Technical Officer
TA	Technical Assistance (expatriate)
TAC	Training Advisory Committee
Title XII	U.S. Educational Institutions included in Title XII Legislation
TOR	Terms of Reference
TOT	Training of Trainers
TPM	Team Planning Meeting
TU	Training Unit
US	Under-Secretary of MDA
U.S.	United States
USDA	U.S. Department of Agriculture
USAID	U. S. Agency for International Development
WPS	Women's Program Section

SECTION 1
EXECUTIVE SUMMARY

1. Introduction
2. Accomplishments
3. Follow-up Actions

EXECUTIVE SUMMARY

INTRODUCTION

The Development Program Management Center (DPMC) of USDA was selected by USAID and the Government of Malawi to assist with pre-implementation planning for the Malawi Agriculture Research and Extension Project (MARE). The overall purpose of the assistance is:

to assist the Ministry of Agriculture and USAID/Lilongwe in starting implementation of the MARE Project by identifying, planning for and initiating key activities and management processes essential for effective and timely implementation management, focussing upon those issues and areas most likely to have an impact on the program over the next 6-12 months.

The MARE Project has been planned in conjunction with two IDA-financed projects--National Agriculture Research Project (NARP) and Agriculture Extension and Planning Support Project (AEPS). Relevant aspects of these two projects and other related USAID-supported activities, such as EPI grant-funded activities, were included because of their critical interrelationships with MARE. The scope of work under which the team approached their assignment is included as Appendix G.

Key concerns and activities were identified initially through in-depth discussions with USAID/Lilongwe. Further discussions were conducted with World Bank and AID officials in Washington and Nairobi before deciding to focus upon the concerns related to Conditions Precedent for MARE and Conditions of Effectiveness (NARP & AESP) as the most important for this consultancy. After arrival in Malawi, following interviews of key MOA and AID officials in Malawi and the results of the first meeting on pre-implementation planning (see Appendix C) six areas were highlighted as the most important for attention during the consultancy:

1. Establishment of the Steering Committee for oversight of the three projects.
2. Establishment of the Training Advisory Committee and the Training Unit.
3. Establishment of the official fiscal mechanisms for the projects, including, identification of "responsible parties" for USAID funds, creation of "special accounts" for IDA financing, and ways of establishing overall accountability for the three projects.
4. Completion of local staffing requirements and international recruitment and procurement.
5. Development of first year workplans and budgets.
6. Identification of other issues which are likely to have an effect on implementation.

ACCOMPLISHMENTS

This report is the first in a series of consultancies which will facilitate start-up of the projects, implementation planning and replanning, and program management review. As noted above, the team worked with Ministry and donor officials to focus upon the most important and urgent areas of pre-implementation, such as those related to meeting Conditions Precedent and Conditions of Effectiveness. A meeting of the key parties for implementation, including representation of the MOA and USAID, led to significant agreements included in Section 2, an official MOA memorandum summarizing the decisions reached on the Management (Steering) Committee, the Training Advisory Committee and project management and coordination issues. Specific accomplishments and actions are summarized below.

1. **PROGRAM MANAGEMENT.** In addition to the more specific accomplishments, Ministry management and decision-making processes were reinforced and developed which can become the basis for implementation and for ongoing management within the Ministry. The most important agreement reached was rather general, but laid the foundation for agreements on specific decisions. That is, general agreement has been reached that the projects should be implemented and managed within the program context of the Ministry, rather than as separate and isolated projects. Thus, the activities and funding will be fully integrated into departmental and ADD programs while maintaining the necessary levels of distinguishable planning and accountability to meet USAID and World Bank needs and regulations.

2. **STEERING COMMITTEE.** The establishment of the Steering Committee was one of the most significant accomplishments. Decisions regarding this committee are included in minutes of the second ministerial meeting (see Section 2). In summary, the existing Management Committee will form the core for the Management (Steering) Committee which will address issues related to guidance, monitoring and management oversight responsibilities for the Projects in quarterly meetings. The functions of the committee and its membership are provided in Section 2, Issue 1, of this report. The draft memorandum, included as Section 3, became the basis for a circular which has now been distributed to formally establish the Management (Steering) Committee.

The advantage of forming the Management (Steering) Committee as decided is that it builds upon and enhances ongoing Ministry processes and organizations within the existing program structures. However, attention must be given to improving the effectiveness and performance of the existing structures so that they fulfill the requirements for the Projects and for an expanding Ministry program. Follow-up implementation and management attention should be given to these management processes and practices.

3. **TRAINING COMMITTEE.** Agreements were reached on the establishment of the Training Advisory Committee, including its functions, membership and role. These are included in Section 2, Issue 3, of this report. Draft statements officially announcing the Training Advisory Committee are included in drafts for a Ministry Circular shown in Section 3 of this report. Serving as a Special Sub-committee of the Ministry's Management Committee and under the Chairmanship of CAS(I), the Training Advisory Committee is mandated to coordinate and strengthen training and staff development in the Ministry.

4. **TRAINING UNIT.** The Training Unit must be fully established before the end of January, 1986 as a condition to the disbursement of training funds. Four steps to indicate the fulfillment of this condition were identified (see Appendix A, Agenda Item 6(B)). The formation of the Training Advisory Committee is the first indicator, followed by establishment of the positions, recruitment and filling of the positions and initiating planning.

During the consultancy, attention given to training resulted in broadening the vision and understanding of training and its relation to improvements in the Ministry. Initial discussions were undertaken to define the functions and roles of the Training Unit in the context of a broader, performance-oriented training mandate. In working papers and an exit debriefing, issues and strategies were suggested as a basis for further implementation planning and start-up. Particular attention must be given to the definition of functions, descriptions of positions and identification of qualifications for staff. See Appendix H for a discussion of issues, constraints and strategies related to training and the Training Unit.

In summary, the training functions assumed by the unit can range from narrowly defined administrative and support functions to broadly defined concerns with overall organizational performance. Although most often described in the Project Paper in terms of administrative services and staff training, there is general agreement that the Training Unit should be concerned with improving capabilities and performances at all levels, in conjunction with ongoing training programs at departmental levels. Based on tentative agreements, and to avoid confusion and duplication, the next steps will be to explore the implications for the Training Unit of the broader mandate, and the functions, roles and relations to department training programs.

5. **FISCAL MECHANISMS.** In discussions between donor officials and MOA officials, agreements were reached on the fiscal mechanisms. USAID had strong interest in the establishment of external accounts and will explore how this is being done with IDA funds. The USAID Project Officer will explore the possibility of and arrange for a visit from the Regional Financial Management Center of AID to assess present systems relative to AID needs and provide assistance in adapting both AID and GOM systems and procedures to meet mutual needs for accountability. There is an immediate concern that the official designation of "responsible parties" for the USAID grant be completed as soon as possible. A draft of the official communication is included in Section 10, but getting this through the official channels may take as long as 35-45 days. The USAID Project Officer should ensure that the sense of urgency on this action is maintained so that key dates are met.

6. **STAFFING REQUIREMENTS.** A review of local staffing requirements for the three projects was initiated with the Planning Division, and a chart is being prepared showing the requirements and present status. Similar information needs to be compiled for international recruitment. It is not clear, at this time, who in the MOA has responsibility to monitor recruitment and identify issues which are arising, such as timing and project requirements. Someone should have overall responsibility to give early warning signals when deadlines are being approached and to monitor or coordinate required actions to avoid delays of funding and other implementation snags. This will be necessary not only for staffing, but for a variety of other issues as implementation proceeds.

Concerns with the selection of a Title XII Institution and recruitment of personnel under that arrangement were quite high. The GOM wants technical assistance personnel to be responsible to and managed by Malawians. This concern is related to both persons and institutions selected to provide technical assistance. (See notes of meetings with Planning Division and first Ministry meeting--Appendixes C and E.) A process of intensive review and assessment for selecting the institution and the long-term resident technical personnel was proposed and adopted to meet these concerns. (See Sections 4, 5 and 6). The assessment process will be assisted by the DPMC pre-implementation team which has experience with similar processes on other development projects and programs.

The selection of the Title XII institution was initiated. The criteria for evaluation of the institution were approved and weighted. Criteria for selection of the technical assistance personnel were reviewed and tentatively adopted. Innovations in the process of selection include (a) requirement for a pool of 3 candidates per position, (b) structuring site visits to include problem-solving and planning exercises to better assess institutional capabilities and approaches, (c) use of an assessment workshop to select the best of multiple candidates for each position, and (d) requiring a plan for handling administrative, logistical and institutional representation matters without a traditional head-of-party.

Immediate follow-up actions are required with GOM, AID/W, BIFAD and DPMC to establish plans and steps for carrying out the agreements reached on selection and assessment processes.

7. **FIRST YEAR WORKPLANS AND BUDGETS.** The focus on this first consultancy was on the processes and framework for workplanning. It was agreed that work plans would be developed in relation to the ongoing planning processes of the Ministry, with responsibilities for activity planning and budgeting falling to the departments and divisions sponsoring particular activities within the three projects. An immediate upcoming item will be the development of specific workplans and budgets for the first year. Based on the decision to manage these projects through the existing Ministry processes and procedures for program planning, budgeting, implementation and management (See Section 2, Issue 2 and Section 3), early attention must be given to the assessment and adaptation of these processes and procedures to meet project needs as well as MOA program needs. Coordination of these implementation activities are the program responsibility of CAS(NRDP) with CAS(I) as alternate. The processes of workplanning and budgeting will be "mapped" as a step for more detailed implementation planning and assistance.

8. **DONOR COORDINATION.** An issue which received a great deal of attention, because of its serious implications for implementation and planning, was donor coordination. Although donor coordination and coordination of implementation is written into the project documents, there are many decisions which have yet to be reached between donors and with the Ministry. (See notes of meetings with donors in Section 6 and notes of meeting with the Planning Division and donors in Appendix F). As the project officers of the World Bank and USAID were not able to all meet together, meetings were held in which issues were identified, tentative positions were discussed, and agendas for later meetings were established.

There is already general agreement on coordination related to specific areas such as joint supervision, financial reports, project reports and technical cooperation. However there is no agreement on the actual procedures and mechanisms and how these will be managed so that coordination is achieved. Within the MOA, the Planning Division is responsible for managing donor liaison, but the donors must reach agreements on norms and practices which translate into effective management and coordination, and which will be for the most part quite different from dominant present practices. It is not clear at this time how the intent of coordination will be operationalized. Leadership at both USAID and the World Bank at higher levels than the project need to pay attention to this matter.

9. HOUSING. Another issue which emerged was related to housing for resident technical personnel in the Lilongwe area. Housing is quite pressed and there is often quite a delay in getting appropriate housing for expatriates in the Capital area. As a result, USAID agreed to review housing implications in its grant and will explore alternatives for handling housing in the Capital area.

FOLLOW-UP ACTIONS

IMPLEMENTATION START-UP ASSISTANCE. It was decided that continuity of approaches to implementation start-up and assistance should be maintained to maximize effectiveness and reduce burdens on the Ministry and donor agencies. Therefore, the donor agencies will explore ways to use the same approaches and the same personnel as they coordinate implementation planning and start-up for the Projects. (See Section 2, Issue 5)

NEXT STEPS. Implementation start-up on the Projects will require constant and ongoing attention over the next 6-9 months. Some immediate steps were identified and will be carried out by Ms. Gloria Steele over the remaining weeks of her consultancy with USAID. These include mapping the workplanning process, reviewing status of staffing and recruitment, planning for Title XII selection, assisting with donor coordination and joint supervisions, assisting with establishment of Agriculture Research Council and USAID responsibilities for training and training personnel. These will be integrated with this team report along with updates on other activities as implementation start-up continues.

TRAINING PLANS. A World Bank official, Jerry Silverman, will be traveling to Malawi in November to initiate planning for management and training assistance through the IDA projects, particularly AEPS. The World Bank, with USAID agreement and support, will arrange for one member of the DPMC team to accompany him so that joint work in this area is coordinated and consistent. The cooperation is highly desirable from the views of the MOA and the donor agencies.

ACTION-PLANNING. USAID will be working with the GOM to identify the next steps which need to be taken for implementation start-up. The overall purpose is to establish the processes, procedures and patterns which will lead to sound project implementation within the MOA development program context. Specific areas being explored include implementation work planning and budgeting, planning and initiating the training unit, recruitment and selection of technical assistance personnel, orientation and management of technical assistance and project management systems improvement.

SECTION 2

SUMMARY OF AGREEMENTS -- MINISTRY OF AGRICULTURE MEETING

SEPTEMBER 10, 1985

1. Summary Notes
2. Items
3. Participants

11th October, 1985

FROM: The Controller of Agricultural Services (NRDP),
P.O. Box 30134, Lilongwe 3

TO : The Secretary for Agriculture, Ministry of Agriculture
Headquarters, Lilongwe 3

: The Deputy Secretary, Ministry of Agriculture Headquarters,
Lilongwe 3

: The Under-Secretary, Ministry of Agriculture Headquarters,
Lilongwe 3

: The Controller of Agricultural Services (Institutions),
Ministry of Agriculture Headquarters, Lilongwe 3

: The Chief Agricultural Officer, Ministry of Agriculture
Headquarters, Lilongwe 3

: The Chief Agricultural Research Officer, Ministry of
Agriculture Headquarters, Lilongwe 3

: The Chief Accountant, Ministry of Agriculture Headquarters,
Lilongwe 3

: The Financial Co-Ordinator, Ministry of Agriculture
Headquarters, Lilongwe 3

: The Chief Veterinary Officer, P.O. Box 30372, Lilongwe 3

: The Chief Projects Officer, Planning Division, MOA HQ

: The Assistant Chief Personnel Officer, Ministry of
Agriculture Headquarters, Lilongwe 3

: The Secretary to the Treasury, P.O. Box 30049, Lilongwe 3

: The USAID Representative

: The World Bank Representative

SUBJECT: MINISTRY OF AGRICULTRE PRE-IMPLEMENTATION COMMITTEE MEETING
MALAWI AGRICULTURAL RESEARCH, EXTENSION AND PLANNING PROJECTS
2ND START-UP MEETING

9TH OCTOBER, 1985

SUMMARY NOTES

The purpose of the meeting was to review progress on pre-implementation plans, particularly with respect to Conditions Precedent and implementation planning, and the areas for the Ministry of Agriculture to take action. This paper summarizes the conclusions of the meeting and identifies next steps.

ITEMS

- (1) Steering Committee -- functions, formation, membership.
- (2) Coordination for Implementation, Donors and Steering Committee.
- (3) Training Committee -- functions, formation, membership
- (4) Selection Process for Title XII Institution and Technical Assistance Team.
- (5) Implementation Planning Support and Coordination.
- (6) Actions Planning for Next Six Months.

PARTICIPANTS

Mr. H.M. Mbale	Chairman - Principal Secretary
Mr. J.A. Mhango	Assistant Chief Agricultural Officer
Mr. M.L. Muwila	Controller of Agricultural Services (NRDP)
Dr. H.K. Mwandemere	Chief Agricultural Research Officer
Mr. C.M.G. Nyirenda	Principal Accountant
Dr. S. Kamvazina	Controller of Agricultural Services (I)
Mr. M.M.Z. Njolwa	Chief Agricultural Projects Officer
Mr. D.C.W. Kambavwa	Under-Secretary
Mr. S.S. Banda	Senior Economist (Planning)
Mr. P.C. Kamwendo	Secretary
Dr. Merlyn Kettering	U.S. Department of Agriculture
Ms. Gloria D. Steele	USAID/Washington
Mr. Richard C. Day	USAID/Malawi - Program Officer
Mr. Bob Johnson	USAID - Implementation Planning Team

Issue 1: Steering Committee

(a) Following are the main points for modifications during the discussion of the functions, roles and membership of the Management (Steering) Committee.

The committee will be called The Management (Steering) Committee.

The functions are accepted, in the modified form, shown below.

A distinction was made between the Agriculture Research Council (ARC) and the Management (Steering) Committee (M/SC). ARC functions were reviewed noting that they focus on agricultural research policy, guidance and long-term planning; while the M/SC focusses on monitoring and guidance of implementation within the MOA program, major implementation problems, progress and how to strengthen MOA project and program implementation. The relationship between ARC and M/SC will be referenced in the "illustrative tasks" of the M/SC.

The illustrative tasks of the M/SC will be modified to more appropriate levels of strengthening an institutional framework for implementing projects, e.g., review of component programs, monitoring of implementation progress and concerns, evaluation and making recommendations to the PS.

The reference to relationship of ARC and M/SC should indicate that the ARC and the M/SC are independent but both report to the PS. Issues identified in either the ARC or the M/SC can be presented to the PS who will determine if they should be referred to the other committee. Either committee can also make recommendations (e.g., on problems, linkages, opportunities) to the other through the PS.

(b) The Management (Steering) Committee has the following responsibilities:

- * set benchmarks for monitoring program progress and evaluating program progress in accordance with benchmarks;
- * review and recommend approval of major pre-implementation and implementation processes and procedures, and thereafter monitor performance;
- * review, discuss and make recommendations concerning any policy level issues or concerns which substantially effect the combined goals and major objectives shared by the three projects;
- * monitor and ensure coordination on implementation of the Projects within MOA and between MOA, donors and other organizations;
- * review, discuss and recommend actions required to resolve issues submitted for review by Supervision Missions, Evaluation Missions, the GOM or others, by mutual consent; and
- * schedule regular and emergency meetings of the Management (Steering) Committee and coordinate development of agendas and working papers.

(c) The Management (Steering) Committee assumes guidance, monitoring and management oversight responsibilities for the Projects. Quarterly meetings will be scheduled in which the Projects are the specific agenda. Special sessions and other meetings of M/SC may be held as necessary. Donor representatives should plan visits to coincide with the quarterly meetings in which the emphasis will be upon reviews of implementation progress and problems. Reports on program components will also be covered in regular departmental and ADD reviews.

(d) The members of the "Management Committee" form the core membership for the Steering Committee. In addition, ex-officio members will be invited to attend to provide information and/or to represent relevant units and organizations. Any officials pertinent to a particular agenda may be invited to meetings.

Core MOA membership: PS, DS, CAS (NRDP), CAS (I), US, CARO, CAO, CVO, CPrO, CA
CA, FC, CTrO

Other GOM members: MOF(DS) and OPC (SPMT) -- to be confirmed

Ex-officio members: FC, ACPO, Mzuzu Program Manager, EAB Officer, CTrO,
Women's Program Officer, Other ADD PMs as project expands
Donor Representatives (1 USAID, 2 IDA)

Issue 2: Coordination of Work Planning, Monitoring and Reporting.

There is general agreement that:

- * the implementation of the projects should be integrated and well coordinated with the overall MOA program;
- * the projects should be implemented, to the extent possible, within MOA policies, procedures and structures;
- * work planning and implementation must be carried out by departments and sections which must have clear authority and responsibility for their components; and
- * program reviews, overall guidance and coordination issues can be addressed by the Management (Steering) Committee.

Three types of coordination were identified. These will be carried out within present MOA structures and processes. No additional staff is required.

Implementation Coordination: This involves managing the planning, implementation and reporting processes to meet MOA program requirements and donor reporting requirements. Implementation coordination will be the responsibility of CAS (NRDP), with CAS (I) serving as backstop.

Donor Coordination: This involves coordinating contacts and maintaining liaison with donor agencies with respect to donor supervision, monitoring and evaluation activities, and identifying and scheduling contacts for donor representatives. Donor coordination is the responsibility of the Planning Division, under the direction of CPrO.

Secretariat Functions for M/SC: This is a management responsibility to serve the Chairman of M/SC involving organizing meetings, developing agendas in consultation with relevant MOA staff, coordinating the preparation of working papers and recording minutes. The Secretariat functions are the responsibility of the US.

Issue 3: Training Advisory Committee.

(a) There is a definite need for a Training Advisory Committee (TAC). The TAC has the following functions:

- * recommend and interpret MOA policy as regards to MOA staff development and training programs;
- * review, monitor and ensure adherence to training priorities identified in MOA's training needs assessments;
- * approve overall approaches to and balances of training programs as recommended by the Training Unit;
- * approve general training plans and candidates proposed for overseas training as recommended by the Training Unit;
- * review donor proposals for MOA training programs and solicit support from donors and other agencies for MOA staff development;
- * review training evaluation reports; and
- * ensure collaboration between MOA training programs and other educational and training institutions in Malawi.

(b) The committee will operate as a Special Sub-committee of the Management (Steering) Committee, passing recommendations as necessary for higher level review. This committee has a broader mandate than and replaces the existing training committee. It will meet quarterly, and more frequently as necessary, under the chairmanship of the CAS (I). The Chief Training Officer (CTrO) will serve Secretariat functions, such as coordination and preparation of agendas, working papers and meeting schedules.

MOA Membership: CAS (I), CAS (NRDP), CARO, CAO, CVO, CPrO, US, CTrO
Other Members: Bunda College Principal, NRC Principal
Ex-officio Members: ACPO, OPC (PMT)

Issue 4: Title XII Technical Assistance -- Contracting Process

AID will negotiate, in collaboration with the GOM, a four-year direct AID contract with a Title XII institution for technical assistance in agriculture research and agriculture extension. The contract will involve 7 long-term resident positions and approximately 64 months of short-term technical assistance. Attention must be given to selecting an effective Title XII institution and to getting agreement with that institution on the most effective processes for (i) selecting the most appropriate members of the technical assistance team and (ii) managing and backstopping the technical assistance team.

26th September, 1985

FROM: THE SECRETARY FOR AGRICULTURE, P.O. BOX 30134, LILONGWE 3.

TO: THE DEPUTY SECRETARY, MINISTRY OF AGRICULTURE HEADQUARTERS,
LILONGWE 3.

: THE UNDER-SECRETARY, MINISTRY OF AGRICULTURE HEADQUARTERS, ~~W~~
LILONGWE 3.

: THE CONTROLLER OF AGRICULTURAL SERVICES (INSTITUTIONS),
MINISTRY OF AGRICULTURE HEADQUARTERS, LILONGWE 3.

~~no~~ : THE CONTROLLER OF AGRICULTURAL SERVICES (NRDP),
MINISTRY OF AGRICULTURE HEADQUARTERS, LILONGWE 3.

: THE CHIEF AGRICULTURAL OFFICER, MINISTRY OF AGRICULTURE
HEADQUARTERS, LILONGWE 3.

: THE CHIEF AGRICULTURAL RESEARCH OFFICER, MINISTRY OF
AGRICULTURE HEADQUARTERS, LILONGWE 3.

: THE CHIEF ACCOUNTANT, MINISTRY OF AGRICULTURE HEADQUARTERS,
LILONGWE 3.

: THE FINANCIAL CO-ORDINATOR, MINISTRY OF AGRICULTURE
HEADQUARTERS, LILONGWE 3.

: THE CHIEF VETERINARY OFFICER, P.O. BOX 30372, LILONGWE 3.

: THE CHIEF PROJECTS OFFICER, PLANNING DIVISION, MQA HQ

: THE ASSISTANT CHIEF PERSONNEL OFFICER, MINISTRY OF
AGRICULTURE HEADQUARTERS, LILONGWE 3.

: THE SECRETARY TO THE TREASURY, P.O. BOX 30049, LILONGWE 3.

: THE AID REPRESENTATIVE

: THE WORLD BANK REPRESENTATIVE ✓

MARE PROJECT PRE-IMPLEMENTATION PLANNING : 2ND START-UP MEETING

You are kindly invited to attend a meeting scheduled for Wednesday, the 9th of October, 1985 at 2.00 p.m. in the Ministry of Agriculture conference room.

The overall purpose of the meeting is to continue our pre-implementation planning by reviewing the work done so far to meet pre-implementation requirements for the three USAID and World Bank-sponsored projects, and identifying the next steps for us to take.

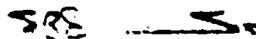
... This meeting is a follow-up to the first pre-implementation meeting held on the 18th of September and will address priorities and issues identified at that meeting. Specifically, we will review suggested strategies related to the projects direction and management, donor coordination and training. We will also reach agreement on some specific decisions about project committee structures and the TORs for the Projects Steering Committee and the Training Advisory Committee. Working papers are attached to this letter. Between now and the meeting on 9th October, 1985, we would like you to review them and identify any questions you have. The pre-implementation consultancy team will be in touch with you for a pre-meeting review.

The meeting will be facilitated by Dr Merlyn Ketsering of the USAID-sponsored USDA/DPMC team which is assisting the MoA with pre-implementation planning. The agenda is as follows:

- Introductory comments by the Principal Secretary
- Review of status of pre-implementation activities
- Review and discussion of strategies for direction and management, donor coordination, and training in the Projects
- Developing TCR's for the Committees
- Reaching agreement on a set of structural issues on Project Steering Committee and Training Advisory Committee
- Selecting priority areas for immediate attention and next steps
- Summary and closing remarks by the Principal Secretary.

Project Liaison Officers from USAID and the World Bank have also been invited to attend this meeting in order to facilitate discussions.

Your presence at this important meeting will be highly appreciated.


S. S. Banda
for SECRETARY FOR AGRICULTURE

SSE/ASWT

Attachments

SECTION 3

DRAFT CIRCULAR RE: GUIDANCE AND MANAGEMENT OF THE
PROJECTS, MANAGEMENT (STEERING) COMMITTEE
AND TRAINING ADVISORY COMMITTEE

1. Introduction
 2. Formalization of the
Management (Steering
Committee
 3. Formalization of the
Training Advisory
Committee
 4. Coordination of
Implementation and
Donor Relations
- 

TO: Controller of Agriculture Services (NRDP),
Ministry of Agriculture

FROM: Implementation Planning Team, USAID

Subject: THE AGRICULTURAL RESEARCH, EXTENSION AND PLANNING SUPPORT PROJECTS:
IMPLEMENTATION AND COORDINATION ARRANGEMENTS

INTRODUCTION

In the past month, two meetings have been held regarding implementation planning and start-up for the National Agricultural Research (NAR) Project, Agriculture Extension and Planning Support (AESP) Project and Malawi Agriculture and Research (MARE) Project. These meetings focussed upon the pre-implementation activities for the USAID-sponsored MARE and the two related IDA-financed projects (NAR & AESP). At these meetings, common understandings were reached on important decisions and activities required for implementation of The Projects. Some of these relate to meeting Conditions of Effectiveness and Conditions Precedent which are mandatory to initiate disbursement of funds; others relate to agreements on matters of coordination and management affecting implementation. Based upon the conclusions of these meetings, it is proposed that a Circular be prepared related to:

- (a) announcing the formalization of the Management (Steering) Committee, which meets conditions on the Projects;
- (b) announcing the strengthening and formalization of the Training Advisory Committee, one of the indicators that the Training Unit is being established; and
- (c) defining responsibilities for coordination of implementation and donor relations during the implementation of the Projects.

Draft content for the circular is attached.

(a) Formalization of the Management (Steering) Committee

Formation of a Steering Committee is specified in agreements with AID and IDA to the conditions related to funding the Malawi Agriculture and Research (MARE) Project, the Agriculture Extension and Planning Support (AESP) Project and the National Agricultural Research (NAR) Project. In meeting these requirements we must avoid excessive proliferation or duplication of committees or functions of committees. Hence, it has been decided that the Management Committee of the Ministry will perform the functions required of the Steering Committee. These functions directly relate to guidance, monitoring and management oversight for the implementation of the Projects. Specifically, the functions are:

- * set benchmarks for monitoring program progress and evaluating program progress in accordance with benchmarks;
- * review and recommend approval of major pre-implementation and implementation processes and procedures, and thereafter monitor performance;
- * review, discuss and make recommendations concerning any policy level issues or concerns which substantially effect the combined goals and major objectives shared by the three projects;
- * monitor and ensure coordination on implementation of the Projects within MOA and between MOA, donors and other organizations;
- * review, discuss and recommend actions required to resolve issues submitted for review by Supervision Missions, Evaluation Missions, the GOM or others, by mutual consent; and
- * schedule regular and emergency meetings of the Management (Steering) Committee and coordinate development of agendas and working papers.

The membership of MOA's Management Committee is the core of a Management (Steering) Committee which shall be chaired by the Principal Secretary. The Management Steering Committee shall hold quarterly meetings in which the implementation of the Projects is the specific agenda. Quarterly meetings will focus reviews of implementation progress, problems and opportunities. Others attending the Management (Steering) Committee include the MOF(DS), OPC(SPMT), and donor representatives. In addition, ex-officio members may be invited at the request of the Chairman to provide information and/or represent units or organizations relevant to specific agenda items. The structure of the Management (Steering) Committee is:

Core MOA membership: PS, DS, CAS (NRDP), CAS (I), US, CARO, CAO, CVO, CPrO, CA
CA, FC, CTrO
Other GOM members: MOF(DS) and OPC (SPMT) -- to be confirmed
Ex-officio members: FC, ACPO, Mzuzu Program Manager, EAB Officer, CTrO,
Women's Program Officer, Other ADD PMs as project expands
Donor Representatives (1 USAID, 2 IDA)

The Under Secretary will perform secretariat functions for the Management (Steering) Committee. The functions of the Secretariat include organizing meetings, developing agendas in consultation with relevant Ministry staff, coordinating the preparation of working papers and recording minutes.

(b) Formalization of the Training Advisory Committee

A Training Advisory Committee (TAC) is being formed to strengthen training and staff development in the Ministry. The TAC builds upon and goes beyond the functions of the existing training committee which it replaces. The functions of the Training Advisory Committee are:

- * recommend and interpret MOA policy as regards to MOA staff development and training programs;
- * review, monitor and ensure adherence to training priorities identified in MOA's training needs assessments;
- * approve overall approaches to and balances of training programs as recommended by the Training Unit;
- * approve general training plans and candidates proposed for overseas training as recommended by the Training Unit;
- * review donor proposals for MOA training programs and solicit support from donors and other agencies for MOA staff development;
- * review training evaluation reports; and
- * ensure collaboration between MOA training programs and other educational and training institutions in Malawi.

The TAC will operate as a Special Sub-committee of the Ministry's Management Committee, passing recommendations as necessary for higher level review. This committee has a broader mandate than and replaces the existing training committee. It will meet quarterly, and more frequently as necessary, under the chairmanship of the CAS (I). The Chief Training Officer (CTrO) will serve Secretariat functions, such as coordination and preparation of agendas, working papers and meeting schedules.

MOA Membership: CAS (I), CAS (NRDP), CARO, CAO, CVO, CPrO, US, CTrO
Other Members: Bunda College Principal, NRC Principal
Ex-officio Members: ACPO, OPC (PMT)

(c) Coordination of Implementation and Donor Relations

Coordination is critical to successful implementation of the Projects. Specifically, there is agreement that:

- * the implementation of the projects should be integrated and well coordinated with the overall MOA program;
- * the projects should be implemented, to the extent possible, within MOA policies, procedures and structures;
- * work planning and implementation must be carried out by departments and sections which must have clear authority and responsibility for their components; and
- * program reviews, overall guidance and coordination issues can be addressed by the Management (Steering) Committee.

Two types of general coordination were identified. These will be carried out within present MOA structures and processes. No additional staff is required.

Implementation Coordination: This involves managing the planning, implementation and reporting processes to meet MOA program requirements and donor reporting requirements. Implementation coordination will be the responsibility of CAS (NRDP), with CAS (I) serving as backstop.

Donor Coordination: This involves coordinating contacts and maintaining liaison with donor agencies with respect to donor supervision, monitoring and evaluation activities, and identifying and scheduling contacts for donor representatives. Donor coordination is the responsibility of the Planning Division, under the direction of CPrO.

SECTION 4
TITLE XII CONTRACTING PROCESS

1. Systematic Selection Processes
2. Selecting the Right University
3. Title XII University Contract
4. Tentative Schedule for Selection Process

NOTES FOR CONSIDERATION ON TITLE XII CONTRACT

(D R A F T)
06/10/85

by Merlyn Kettering
DPMC/OICD/USDA

I. THE IMPORTANCE OF SYSTEMATIC SELECTION PROCESSES

A large part of donor-sponsored development projects is committed to a group of technical assistance (TA) specialists. Because of the high costs of TA and its pivotal role in a project, the selection of the right people should not be left to chance. Often however, less attention is given to this matter than it deserves, often because of an "urgency" to get someone in the field. The result too often has been disappointment and resentment, on all sides. Host country expectations of close working relations and high productivity are not met; TA personnel feel diverted, underutilized and isolated; donors feel caught between the host country and the teams, often reverting to high levels of direction and involvement to reach acceptable outcomes; and so on. Several recent experiences in Malawi highlight the importance of getting the right people on board, and then working with them in the right ways. As we suggest below, the whole process of selection and preparation of TA should be carefully planned and carried out from the outset to raise probabilities that there will be sufficient satisfaction with the final outcomes.

The process suggested below for selecting a university helps ensure:

- * the selection and preparation of highly qualified and committed university for providing technical assistance specialists
- * greater collaboration among the involved organizations due to active involvement in every step of the approach
- * greater confidence in and agreement on the selection because it was made systematically and against a wide range of specific relevant criteria, through objective, interactive processes
- * greater understanding of project goals, structure, processes, setting, policies, etc. by all involved, including the selected university, because actual information is used interactively throughout the selection process

II. SUGGESTIONS FOR THE SELECTION PROCESS -- SELECTING THE RIGHT UNIVERSITY

Selecting an appropriate university, or university consortium, is the first step in getting the right people on board for technical assistance teams. It is, however, very important not to confuse the selection of the university with the selection of the team. The university is the organizational sponsor of the team, and the most important factors are related to organizational capacities, processes, attitudes and performances. Thus, the criteria for selecting the university are not synonymous with those required for the technical assistance team. At this point, the focus should be on the organization, its experience, attitudes, approaches and capabilities.



Step 1: Planning and Establishing Selection Criteria.

Step 2: Soliciting Statements of Interest and Capabilities.

Step 3: Shortlisting Submissions and Requesting Proposals

Step 4: Evaluation, Site Visits & Final Selection of University

Step 5: Orientation, Preparation and Planning

Step 1. Planning and Establishing Selection Criteria, as first selection step requires that the relevant organizations (and organizational units) collaborate to describe a set of project-specific criteria against which the potential universities are to be screened and assessed. These criteria must be based upon a shared understanding of the overall goals, outcomes and strategies of the total effort to which the TA is to contribute. Criteria should be written in terms of specific organizational experience, processes/practices, knowledge and attitudes required to give effective performance.

Minimal technical and experience criteria need to be complemented by other specific skills, knowledge, experience and attitudes related to effective performance and will be used at different steps in the process. Besides specific technical qualifications, other skills should be considered such as cross-cultural communications, small group and large group communications and presentations, training, management, adaptability, planning, etc. These will be used for evaluation of proposals and later in the assessment workshops to make final selection of candidates.

The criteria can be divided into groups, depending on how and when it will be relevant and obtained throughout the whole process. For example, some basic "go-no go" criteria will be identified for assessing initial proposals. Higher level criteria may be developed for later phases of the process which is much more interactive. Criteria which emphasize institutional capacity include:

an innovative approach to management emphasizing performance-oriented and team processes and mechanisms closely linked to field assignments of the staff assigned to development projects

proven capacities to work collaboratively with donor agencies and host country officials, with high degree of management and direction delegated to host country

defined methodologies based on farm systems approaches which enhance participation and innovation for rural and agricultural development, and sufficiently broad capacity and experience to promote strengthened linkages between research and extension for improvements in basic and diversified cropping patterns

an expanded network beyond the immediate university community, with experience that shows a willingness and processes to tap the network to meet technical assistance needs

university leadership familiar with and committed to rural development in poor nations

Step 2. Soliciting Declarations of Interest and Capability represents first contacts with the university community. Careful wording of advertisements is important to ensure that appropriate responses are obtained. In this case, for example, it will be important to indicate that the responsibilities of the university are not for the total project, but for selected technical assistance components which must be fit into the larger project, and the larger program of the MOA. Using the criteria identified above, advertisements and the RFTP must be worded in ways that communicate these criteria to elicit suitable responses.

Step 3. Shortlisting Submissions and requesting detailed proposals is time consuming for all involved, but very critical. The RFTP should be carefully designed to provide maximum information for evaluating proposals. For example, RFTPs are often written in a way that encourages standardized submissions and limits comparability to minimal criteria, e.g., costs, technical competence and so on. The RFTP should be devised so that additional information beyond a technical approach is obtained. Statement of approaches and processes for collaboration and management can be requested; responses to simulated problems or situations can be required; previous experiences and references are useful.

The RFTP will be prepared by AID in collaboration with the GOM/MOA. The RFTP will be sent to a list of qualified institutions provided by BIFAD, including a statement of the qualifications, areas of expertise and other relevant criteria considered essential for implementing designated tasks of technical assistance on the project.

A pre-proposal seminar or meeting may be considered to provide information to potential offerors and to provide a forum for giving uniform, one-time opportunity for offerors to get clarity on the requirements. Attendance is not an obligation and costs incurred will not be covered in any way.

Systematic screening of submissions to create the short list of universities for in-depth assessment should involve experienced evaluators and officials of USAID (AID) and the GOM. Agreement should be reached on the weighting of the criteria at appropriate stages. Records should be maintained throughout the evaluation process so the decision-making can be tracked if necessary.

Step 4. Evaluation, Site Visits and Selection are the final and perhaps most important steps in getting the right institution. It is important that the evaluation and selection team share a common understanding of the needs of the project, the criteria for selection and the process to be used. The Evaluation will be done by an RFTP Evaluation Committee which consists of two or more AID employees and two or more GOM representatives. The Regional Legal Advisor and Contracting Officer will advise the Evaluation Committee which is chaired by the USAID Project Officer.

Site Visits to selected universities can provide useful information for final decision-making and selection. However, frequently these visits are so engaged with protocol and publicity that genuine data about capacities for supporting developing programs are not obtained. Site visits should be designed in form of working sessions in which the pace, agenda and activities are dictated by the information needs of the visiting team and the process is managed by the visiting team, not by the university itself.

Alternatively, a limited number of selected universities (short list) may be invited to send teams to participate in a 3-4 day program of further evaluation at an assessment workshop. Either way, it is important to get beyond formal and preliminary publicity information to actual data about how the university will be able to carry out designated tasks on the project.

The working sessions on the assessment workshop should be structured so that relevant professional staff and officials of AID and GOM will observe and interact with university teams in a variety of structured situations and compare their performances against the criteria developed above. This can be done in ways to realistically simulate the project situation and provides both universities and the sponsoring organizations with project, agency, country and assignment information which they can use to assess continued interest and suitability. The assessment process should be mutual and ensure fuller understanding of the organization ultimately selected.

Selection of the preferred university is done by the professional and organizational personnel following the site visits and/or assessment workshop. Decision-makers for AID and the GOM must be involved. The final assessment and decision should focus on both strengths and weaknesses in the dimensions and criteria assessed, with all available information (formal and informal, objective and subjective) being data. Individual assessments are shared and discussed with care to use observations to support interpretations and judgements. A process of consensus is followed until both the top and back-up choices are clear. As noted in all steps, the criteria for selection are the pivot point for discussion and decision.

Step 5. Orientation, Preparation and Planning move the attention from selection to action. Selection is not the end of the process, but provides the beginning of relationships and patterns which will continue throughout the project. Information has been collected, highlighting both strengths and weaknesses. This is useful for identifying areas where support and or development may be necessary. This realism is a sound basis for creating genuine ongoing collaborative relationships. The selected university should go through briefings, planning, collaborative organizational meetings and orientation to ensure that agreement is reached on the responsibilities and roles of the university. Plans should be developed collaboratively for the start-up of the university in the ongoing projects and programs.

Pre-implementation planning and Implementation start-up should be carried out systematically with the university in a way which models the processes used for developing sound implementation basis for the total project. One of the most important elements at this planning stage related to getting the right people on the technical assistance team and reaching agreements on their management and coordination.

III. RECRUITMENT, ASSESSMENT, SELECTION AND PREPARATION OF THE TECHNICAL ASSISTANCE PERSONNEL UNDER TITLE XII UNIVERSITY CONTRACT

As with the selection process for contracting with a university, proposed above, the process for technical assistance personnel goes through a series of sequential and interdependent phases which promote collaboration, understanding and confidence for all parties involved. Three further steps are proposed:

Step 6: Planning Selection Process and Refinement of Criteria

Step 7: Assessment Workshop for Proposed Candidates and Selection of Team Members

Step 8: Preparation of Team

Step 6: This step sets the stage for interorganizational collaboration with the selected university. This is done by working with the university (1) to establish plans for carrying out the process and defining organizational roles and (2) by agreeing upon and refining criteria based upon shared understandings of the overall goals, outcomes and strategy of the effort and which reflect the total range of competencies required for effective teams. The previous criteria used during the screening of university proposals should be reviewed and fully discussed. Consideration should be given to other criteria or dimensions of performance which may be appropriate candidates for specific positions.

When the university is selected, implementation planning should begin, as noted in Step 5 above. This will include the planning for final selection and preparation of the technical assistance team. Organizational responsibilities need to be clearly defined for selection, management, and evaluation of team members throughout implementation. It is important that cooperative patterns of collaboration are established at this point as a basis for ongoing relations and support, including backstopping and management, throughout implementation.

Step 7. Assessment and Selection of the Team is a critical step and must be carefully planned and executed to be effective. The process is very intense and interactive to provide maximum opportunity for candidates and organizations to get information and develop relationships. The process is most effective if it is professionally designed and managed. Agreement upon and commitment to the selection criteria is a must. Assessment of the proposed candidates on a range of professional skills is most important to selecting the right persons. The performance criteria established in Phase 1 (for each position) are used to design a process for getting the best persons for each position. The first screening of resumes using several basic "go-no go" criteria has taken place during university selection. A second screening of candidates begins by using additional information requested from identified candidates such as writing samples or problem-solving assignments related to the project and obtaining additional information from candidates and references in telephone interviews. This is followed by inviting the final persons (2-4 preferably for each position) to an assessment workshop.

For the assessment workshop, a limited number of qualified and interested candidates are invited to participate in a 2-4 day program of initial evaluation during which staff of the organizations interact with and observe candidate performance in a variety of situations and compare it against the criteria for the positions. This provides the opportunity to complete the assessment of each candidate's overall suitability and is the key element in the selection process since it allows realistic interaction and observation of actual performance. It is essential to assessing the whole mosaic of capabilities that are required for each of the positions. It also provides opportunity to give candidates information about the project, agency, country and assignment which they can use to assess their continued interest and suitability for the assignment. The assessment staff should include professional staff from all involved organizations and some professional facilitators/assessors.

Final decisions on members of Technical Assistance Team is done by the assessment team and critical decision-makers following the assessment workshop. A facilitated process is used to guide summarization of assessment data by candidate, by dimension, by assessor. Summary interpretations are made of each candidate's strengths and weaknesses and discussed in relation to observations until consensus is reached about each candidate's suitability for a particular position. The final recommendations, with documentation, are submitted for formal approval. Feedback is given, as appropriately agreed upon before the assessment process, to each candidate, including those not selected.

Step 8. Preparation of Technical Assistance Team has already begun by the nature of the selection process. However, it must be continued systematically through pre-departure and post-arrival activities. Specific areas may be identified, such as country studies, family preparation, technical upgrading or specialization, language, administration and management skills, etc. Structured activities can be designed for the team or for individuals so they are better prepared to take on their technical assistance roles. An in-country program of learning, organizational orientation and implementation planning are important for the team and for the MOA as the first step in a strong cooperative relationship.

TENTATIVE SCHEDULE FOR TITLE XII AND TECHNICAL TEAM SELECTION PROCESS

		who	weeks	approx. date
A.	Decision on Assessment Selection Process	MOA/ USAID		15/10/85
B.	Step 1: Planning and Establishing Selection Criteria	MOA/ USAID	1	22/10/85
C.	Step 2: Soliciting Documentation of Interest and Capabilities	BIFAD	4	20/11/85
D.	Step 3: Shortlisting Submissions and Requesting Proposals	BIFAD	10	10/01/86
E.	Step 4: Evaluation, Site Visits and Final Selection	MOA/ USAID	8	10/03/86
F.	Step 5: Orientation, Preparation and Planning with University	MOA/ USAID	4	10/04/86
G.	Step 6: Planning Selection Process and Refinement of Criteria	MOA/ USAID/ Univ.	(same time as above)	
H.	Step 7: Assessment Workshop for Proposed Candidates and Selection of Team	Univ./ USAID/ MOA	4	10/05/86
I.	Step 8: Preparation of Team (including pre-departure and initial in-country team meeting)	Univ./ USAID/ MOA	12	10/08/86

SECTION 5
CABLE AND NOTICE FOR BIFAD

1. Background
2. General Project Description
3. MARE Project Components
- 4.. MARE and IDA
5. Title XII Contract

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AIDAC

FOR AFR/PD/SAP, K. NURICK
NAIROBI FOR REDCO/ESA

E.O. 12356: N/A
SUBJECT: TITLE XII CONTRACTOR SELECTION FOR MARE PROJECT
(612-7215)

REF: 275798 *6/10/85*

1. AS PART OF ON-GOING PRE-IMPLEMENTATION ACTIVITIES FOR MARE PROJECT, USAID AND GOM HAVE BEEN DISCUSSING MOST EFFECTIVE PROCESS TO ENSURE SELECTION OF APPROPRIATE TITLE XII CONTRACTOR. IN MEETING HELD LAST OCTOBER 5, 1985, FOLLOWING GENERAL AGREEMENTS WERE REACHED:

A. THE GOM WILL ASSUME AN ACTIVE ROLE IN CRITICAL STEPS OF SELECTION PROCESS SPECIFICALLY IN AREAS OF CRITERIA IDENTIFICATION, PROPOSAL EVALUATION, ASSESSMENT AND SELECTION OF INSTITUTIONAL AND TECHNICAL ASSISTANCE CANDIDATES, AND TITLE XII TECHNICAL ASSISTANCE TEAM ORIENTATION.

B. THE PROCESS DISCUSSED IN PARA 2 BELOW WILL BE FOLLOWED IN SELECTING TITLE XII CONTRACTOR.

C. JOINT PROPOSALS FROM GROUP OF UNIVERSITIES (PREFERABLY IN PARTNERSHIP WITH PRIVATE FIRMS) RATHER THAN PROPOSALS FROM INDIVIDUAL INSTITUTIONS, SHOULD BE ENCOURAGED IN RFTP.

D. RFTP SHOULD REQUEST OFFERORS TO PROPOSE AT LEAST THREE CANDIDATES FOR EACH TECHNICAL ASSISTANCE POSITION TO FACILITATE CANDIDATE SELECTION BY GOM, USAID AND TITLE XII INSTITUTION DURING CANDIDATE ASSESSMENT WORKSHOP MENTIONED IN STEP 8 PARA 2 BELOW.

E. PROFESSIONAL FACILITATORS WILL BE RECRUITED TO ASSIST GOM AND USAID TO DESIGN AND UNDERTAKE SPECIFIC ACTIVITIES LISTED IN PARA 2, INCLUDING ASSESSMENT WORKSHOP TO SELECT COMPOSITION OF TECHNICAL ASSISTANCE TEAM.

2. THE FOLLOWING ARE MAJOR STEPS INVOLVED IN TITLE XII SELECTION PROCESS ENDORSED BY GOM AND USAID:

- STEP 1 : PLANNING AND ESTABLISHING SELECTION CRITERIA BY MOA AND USAID FOR INSTITUTIONAL AND INDIVIDUAL TECHNICAL ASSISTANCE TEAM MEMBERS.

- STEP 2 : ISSUANCE BY BIFAD OF PROJECT ANNOUNCEMENT TO TITLE XII INSTITUTIONS TO SOLICIT DOCUMENTATION OF INTEREST AND CAPABILITY (DIC).

- STEP 3 : SHORTLISTING OF DIC SUBMISSIONS BY AFRICA BUREAU AND BIFAD; SUBMISSION OF SHORTLIST TO GOM AND USAID.

- STEP 4 : ISSUANCE OF CDS NOTICE/REQUEST FOR TECHNICAL PROPOSALS.

- STEP 5 : EVALUATION OF PROPOSALS, SITE VISITS, AND FINAL TITLE XII SELECTION BY MOA AND AID REVIEW PANEL.

- STEP 6 : DISCUSSION BETWEEN MOA, USAID, AND SELECTED TITLE XII INSTITUTION TO REACH AGREEMENT ON PROCESSES TO BE FOLLOWED IN UNDERTAKING STEPS 7, 8 AND 9 BELOW.

- STEP 7 : PLANNING SELECTION PROCESS FOR INDIVIDUAL CONTRACT TEAM MEMBERS AND REFINEMENT OF SELECTION CRITERIA BY MOA, USAID, AND TITLE XII CONTRACTOR.

- STEP 8 : ASSESSMENT WORKSHOP FOR PROPOSED TECHNICAL ASSISTANCE CANDIDATES AND SELECTION OF TEAM MEMBERS BY MOA, USAID AND TITLE XII CONTRACTOR.

- STEP 9 : PREPARATION OF TECHNICAL ASSISTANCE TEAM (INCLUDING PRE-DEPARTURE AND INITIAL IN-COUNTRY TEAM MEETINGS) BY MOA, USAID AND TITLE XII CONTRACTOR. ACTIVITIES WILL INCLUDE PROJECT IMPLEMENTATION PLANNING AMONG RESPONSIBLE PARTIES, COUNTRY ORIENTATION, LOGISTICAL ARRANGEMENTS AND OTHER NECESSARY PREPARATORY REQUIREMENTS.

3. GIVEN SELECTION PROCESSES DESCRIBED IN PARA 2, GOM AND USAID ANTICIPATE TECHNICAL ASSISTANCE TEAM TO ARRIVE IN MALAWI BETWEEN MAY - AUGUST 1986.

4. USAID HAS PREPARED TEXT FOR TITLE XII ANNOUNCEMENT, WHICH USDA H. KETTERING WILL HANDCARRY TO WASHINGTON. KETTERING WILL CONTACT AFR/PD/SAP K. NURICK ON OCTOBER 18 TO SET UP MEETING TO DISCUSS ANNOUNCEMENT, TITLE XII SELECTION PROCESS, AND STATUS OF MARE PRE-IMPLEMENTATION WORK. USAID REQUESTS NURICK TO INVITE AFR/SA, BIFAD, AND AFR/TR/ARD TO PARTICIPATE IN MEETING. PLEASE ADVISE USAID OF AGREEMENTS REACHED DURING MEETING, INCLUDING ANY SUGGESTED CHANGES IN SELECTION PROCESS OR PROJECT ANNOUNCEMENT, AND ANTICIPATED DATE OF ISSUANCE OF TITLE XII ANNOUNCEMENT.

5. RE REFTL, USAID WOULD APPRECIATE BIFAD ASSISTANCE IN ISSUING PROJECT ANNOUNCEMENT TO TITLE XII INSTITUTIONS, IN DRAWING UP SHORTLIST OF TITLE XII INSTITUTIONS ON BASIS OF DIC SUBMISSIONS, IN COLLABORATION WITH AFRICA BUREAU, AND IN CLARIFYING QUESTIONS FROM TITLE XII INSTITUTIONS RE RFTP. USAID WELCOMES BIFAD PARTICIPATION, IN EX-OFFICIO CAPACITY, DURING REVIEW OF PROPOSALS WHICH WILL BE HELD IN MALAWI, AND BIFAD ASSISTANCE IN MONITORING PERFORMANCE OF SELECTED TITLE XII CONTRACTOR. ADAMS

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MALAWI AGRICULTURAL RESEARCH AND EXTENSION PROJECT

I BACKGROUND

The Malawi Agricultural Research and Extension Project (MARE) is part of a comprehensive development program aimed at improving the services and cost-effectiveness of the Ministry of Agriculture (MOA). It will be implemented over a five-year period in conjunction with two IDA-financed projects - the National Agricultural Research Project and the Agricultural Extension and Planning Support Project.

The activities selected for the MARE Project build upon previous USAID investments in Malawi's agricultural sector, namely, the on-going Agricultural Research Project and the Bunda Agricultural College Project.

II GENERAL PROJECT DESCRIPTION

The MARE Project will: (1) provide support for both applied research and adaptive research activities which, together, are expected to produce appropriate technologies for smallholders; (2) strengthen the extension system both in terms of its linkages with research and its ability to disseminate information, and (3) establish an institutionalized staff training program for the MOA.

Accordingly, the Project is structured into three separate, but mutually supportive components which correspond to these aims: a Research Component, an Extension Component, and a Training Component. The Research Component is critical in terms of improving existing agricultural technologies and developing new ones which will improve the productivity, and ultimately, the incomes of smallholders. This component will strengthen and replicate the adaptive research program and continue applied research in horticulture which were initiated in the on-going Agricultural Research Project. The Extension Component is expected to assist the Department of Agriculture (DOA) to transfer improved agricultural technologies more effectively to a greater number of small farmers. The Training Component will assist in the MOA's long-term institutional strengthening program by developing the necessary management and technical expertise to enable the Ministry to operate in a more efficient, cost-effective, and coordinated manner. Through each of these components, the Project will encourage more focused attention on measures to improve agricultural services to women smallholders. Linkages among the three MARE Project components and between MARE and the two IDA-financed projects are extremely important in achieving the objective of strengthening the capability of the MUA to provide improved services to the smallholders of Malawi.

A. Project Goal - In conformity with the Mission's approved Country Development Strategy Statement (CDSS), the goal of the MARE Project is to increase the incomes of smallholders.

The sub-goal of the Project is to strengthen domestic institutions to support smallholder production.

B. Project Purpose - The purpose of the Project is to improve the MOA's institutional capacity to increase the productivity of traditional crops and to identify the most viable crops for diversifying smallholder production.

The principal institutions targeted for assistance by this Project are: the Department of Agricultural Research (DAR); the Department of Agriculture (DOA), including the Extension Aids Branch (EAB) and the Women's Program Section (WPS); the eight Agricultural Development Divisions (ADDs); and the MOA Training Unit. Bunda College and the Natural Resources College are also expected to participate. The traditional crops which will receive attention in this Project are maize, rice, sorghum/millet, cassava/potatoes, and grain legumes.

C. End of Project Status - At the end of the five-year life of this Project and the two IDA-financed projects, the following will have been achieved: (1) The Agricultural Research Council (ARC) is specifying priorities for research and allocating funds according to these priorities; (2) Eight Adaptive Research Teams (ARTs) are established and capable of locally adapting technologies developed by the Commodity Research Teams; (3) Five National Commodity Research Coordinating Units (NCRCUs) are undertaking research on priority traditional and non-traditional crops; (4) Extension operations are modified to be more

effective in transferring technologies to a greater number of smallholders; (5) The Women's Program Section is strengthened to increase women's participation in agricultural research, extension, and training programs; and, (6) A fully operational research and extension staff training program is established.

D. Project Outputs - The following outputs will be achieved by the MARE Project:

- 1) ARC System for Evaluating and Setting Research Priorities Developed;
- 2) Eight Adaptive Research Teams Established;
- 3) Strengthened National Commodity Research Coordinating Units;
- 4) Improved Agricultural Communications Services;
- 5) Strengthened Women's Program Section; and
- 6 MOA Staff Training System Established.

E. Project Inputs - The following is a summary of AID's contribution to the MARE Project:

1) Technical Assistance - Long-term technical assistance, by component, will be provided in the areas of: (a) production economics, agronomy, agricultural economics, horticulture, and agro-forestry (Research Component); (b) agricultural communications and women's program development (Extension Component); and, (c) manpower development (Training Component). In addition, short-term technical assistance will be provided to complement and support the activities of the long-term technical advisors.

2) Training - Funds will be provided for off-shore long-term degree and short-term non-degree training, and for in-country short-term training.

3) Commodities - Commodities that will be purchased for all components of the MARE Project include vehicles, micro-computers, textbooks, and various types of audio-visual and printing equipment.

4) Other Inputs - Included in this category are operating and program funds for the technical assistance team, funds for conducting studies and mass communications pilot activities, and allowances for price and physical contingencies.

III DESCRIPTION OF MARE PROJECT COMPONENTS

A. Research Component - The Research Component will assist the DAR to develop technologies that will improve the productivity of smallholders. This task has two aspects: first, to increase the returns to land, labor and other inputs employed on traditional crops (especially maize); and, second, to identify crops for diversifying smallholder production which can provide higher incomes, employment levels, and increased foreign exchange. Project assistance will be utilized for the following: (1) development of an Agricultural Economics and Data Processing Unit (AGREDAT) which will conduct economic, financial, and statistical analyses of research results and proposals to be used by the Agricultural

Research Council in setting Malawi's research priorities; (2) support for commodity research programs through the strengthening of five National Commodity Research Coordinating Units (Horticulture, Cereals, Grain Legumes, Livestock and Pastures, and Agricultural Engineering/Land Husbandry); and, (3) support for the development of the Adaptive Research Program which, once fully established, will consist of a National Coordination Unit and eight ARTs located at the ADDs. The design of this component explicitly recognizes that agricultural research is a long-term process and a complementary build-up of both on-station and on-farm research capabilities is required.

B. Extension Component - The Extension Component will assist the DOA to improve its capability to disseminate research recommendations to small farmers and strengthen its institutional links with the DAR. Specifically, through this component, assistance will be provided to the Extension Aids Branch (EAB) to enable it to: (1) establish a system for developing effective agricultural communications strategies; (2) improve EAB's capabilities to develop and produce extension materials; and (c) test, on a pilot basis, alternative mass communications approaches that can be replicated in other parts of Malawi.

In addition to the above, this component will assist the Women's Program Section (WPS) to: (1) define and develop strategies to improve women's participation in the MOA's development programs; and, (2) address specific agriculture-related problems affecting women farmers.

C. Training Component - This component will improve the technical, management, and training skills of agricultural personnel as a means of enhancing the performance of the MOA in meeting the agricultural service needs of small farmers. An institutional training system, which is performance-oriented, competency-based, and linked to the MOA planning and programming processes, will be initiated through the establishment of a Training Unit. The Training Unit, with guidance from a Training Advisory Committee, will oversee and coordinate the implementation of overseas and in-country long-term and short-term training. The specific objectives of the training program are: (1) to upgrade the technical and managerial skills of the research and extension staff; (2) to transfer adult education training methods to MOA trainers; (3) to improve research and extension staff skills in the areas of planning, administration, management, and implementation; (4) to strengthen the linkages between research and extension; and, (5) to ensure that the mix of staff skills is appropriate for the MOA's smallholder development programs, institutional structure, and development priorities.

IV RELATIONSHIPS BETWEEN MARE PROJECT COMPONENTS AND THE IDA-FINANCED PROJECTS IN RESEARCH, EXTENSION, AND PLANNING

Relationships and linkages between the two IDA-financed projects (National Agricultural Research Project and Agricultural Extension and Planning Support Project) and specific components of the MARE Project are briefly described below:

A. Research Component - The MARE Project and IDA-financed National Research Project will jointly provide the financial and technical resources necessary to develop and implement a MOA Master Plan for Agricultural Research. In addition, the IDA Project will assist the MOA to establish the Agricultural Research Council (ARC), consolidate and upgrade research facilities, improve research and personnel management, programming, and budgeting operations, and improve the DAR's data base and library services. Technical assistance will be financed by the IDA in the areas of agricultural research planning, financial management, procurement and library science. The MARE Project is focused on the development of the adaptive research capability within the DAR and the improvement of the technical skills of Malawian staff working in the Commodity Research Programs.

Both the USAID and IDA Projects will interface on several of the planned research activities. In the area of adaptive research, the IDA Project will finance most of the operating costs of the Adaptive Research Teams (ARTs), except for the USAID technical assistance which will provide its own project resources to cover travel, vehicles, vehicle operations, and limited program expenses. In terms of applied research, the MARE Project will provide technical assistance and technical training, and the IDA Project will finance infrastructure, equipment, operating costs, and management training.

B. Extension Component - The IDA-financed Agricultural Extension and Planning Support Project will provide technical assistance and management training to improve the efficiency and cost-effectiveness of the DOA's extension operations. Specifically, improvements will be made in extension planning, programming, and in financial and personnel management. In addition, the IDA will make credit available and finance civil works and the procurement of vehicles and equipment to undertake a pilot production project in the Mzuzu ADD. Technical assistance will be financed by the IDA in the areas of national agricultural planning, extension planning and management, financial management, and seed multiplication. The MARE extension component will complement these activities through the provision of technical training for the extension force. In addition, the MARE Project will strengthen the technical capability of the EAB to utilize effective agricultural communications approaches and improve the operations and performance of the Women's Program Section.

C. Training Component - The design of the MARE Project and both IDA projects emphasize the importance of developing strong in-country training systems to ensure long-term institutional development. The staff training capacity within the MOA will be strengthened and institutionalized. The availability of two sources of funding for training provides the GOM with flexibility to select institutions for training worldwide and to obtain the appropriate types of training to meet the MOA's institutional needs.

The training support from USAID and IDA will be separated for the purpose of accountability in all the three projects, but balanced to ensure a coherent program. In general, agreement has been reached that USAID will finance U.S. and in-country technical training, which complements its emphasis on improving technical agricultural skills. On the other hand, IDA will finance off-shore and in-country management training, in keeping with its aim to improve the overall cost-effectiveness of the MOA. The financing for training is balanced between USAID and IDA as follows:

Training for the DAR, off-shore and in-country:

65% (USAID) and 35% (IDA)

Training for the DOA, long-term off-shore:

80% (USAID) and 20% (IDA)

Training for the DOA, short-term in-country and off-shore:

60% (USAID) and 40% (IDA)

The Training Advisory Committee of the MOA will monitor and evaluate the use of training resources to ensure that institutional-strengthening, the genuine interest of all parties involved, is achieved.

V SPECIFICS OF THE TITLE XII CONTRACT

A. Two different types of contracting mechanisms will be used in procuring the inputs of the MARE Project:

- Inputs of the Research and Extension Components will be procured through a direct AID contract with a Title XII institution.

- Inputs of the Training Component will be procured separately through host country contracting mechanisms for the following reasons: (1) there is an urgent need, due to the timing of implementation of the IDA-financed projects, to mobilize USAID's inputs in training as soon as possible; and (2) it is the GOM's expressed desire to maintain full control over the management and implementation of the MOA training program, which includes the activities that will be financed under the Training Component of the MARE Project.

B. The direct AID contract with a Title XII institution will be for a four-year period. Inputs that will be financed under this contract include: (1) 7 long-term technical advisors in the areas of production economics, agronomy, agricultural economics, horticulture, agroforestry, agricultural communications, and women's program development; (2) 64 person-months of short-term technical assistance; and, (3) a major portion of the Project commodity procurement.

C. The GOM has indicated a strong preference for proposals that involve sub-contracting arrangements with other universities, international agricultural institutions and appropriate private firms. The GOM has also indicated a strong preference for proposals that nominate at least

three qualified candidates for each of the long-term technical assistance positions called for in the Research and Extension Components of the MARE Project.

D. In order to give interested Title XII institutions sufficient lead time to respond adequately to the RFTP, the evaluation factors that will be used in ranking technical proposals are attached to this announcement. After initial evaluation of all the technical proposals, the top 3 bidders will be visited by members of the evaluation panel for further assessment. These two processes will lead to the final selection of an institutional contractor. Candidates nominated by the selected Title XII institution will be asked to participate in an assessment workshop which will be conducted in the U.S. The purpose of this workshop is to give the evaluation panel an opportunity to assess, in more depth, the technical, interpersonal, management and communications skills of the nominated technical assistance candidates. Based on evaluations made during this workshop, members of the technical assistance team will be selected.

E. The GOM expects the technical assistance team to work within the MOA system and be directly accountable to MOA department heads. To ensure that these occur, the GOM has requested that no member of the technical assistance team be designated as Chief of Party. In view of this, offerors will be asked to propose a plan for providing administrative and logistical support to the technical assistance team and for coordinating the preparation of technical and financial reports required by USAID and

the Title XII home campus. These functions have traditionally been performed by a Chief of Party.

F. The GOM and USAID anticipate the technical assistance team to arrive in Malawi sometime between May - August 1986.

SECTION 6
CRITERIA FOR RFTP AND CANDIDATE SELECTION
OF TITLE XII INSTITUTIONS

This question includes working papers developed either for discussion and decision-making or as background information for future decisions.

1. Responsiveness of the Proposal
2. Institutional Qualifications
3. Technical Personnel
4. Ranking Sheet
5. Selection Criteria
6. Illustrative Criteria

BRIEFING NOTES

MINISTRY OF AGRICULTURE

AGRICULTURE RESEARCH, EXTENSION AND PLANNING SUPPORT PROJECTS

Meeting on 14th October, 1985
9:00 am

Subject: Criteria for Selection of Title XII Institution and Technical Team

agenda

1. review of selection process and points to use criteria
2. review of criteria for selecting the Title XII institution
3. weighting the criteria for the Title XII institution
4. review of tentative criteria for selecting technical assistance team
5. planning next steps and responsibilities
6. Other business

Attached are two draft documents proposing criteria for (1) selecting the Title XII institution, written in language which will be used in the RFTP, and (2) selecting the technical assistance team.

The criteria for the institution will be contained in the RFTP, will be used (as weighted) to rank and evaluate proposals, will be made more specific with indicators which can be used for structuring the site visit and making final selection.

The criteria for the technical assistance team will be modified, with attention on each position, to the precise technical and experiential requirements and the balancing of all the proposed criteria to the requirements of each position and/or assignment. The general criteria will be specified in the RFTP, used to assess quality of candidates in proposals, linked to structuring site visits and making final selection, and used as the basis for designing and carrying out intensive candidate selection at the assessment workshop.

EVALUATION FACTORS

WEIGHT (POINTS)

1. Technical Quality and Responsiveness of the Proposal

(a) Understanding of the underlying concepts and technical, management, and institutional issues associated with Farming Systems Research/Extension (FSR/E), and ability to develop a strategy to organize, implement, and institutionalize a FSR/E program in Malawi.

(b) Understanding of the alternative approaches, and ability to develop a strategy, to institutionally and technically link: (i) a FSR/E program with an applied commodity research program; (ii) an agricultural research program (both applied and FSR/E) with the extension program at the national and field levels; (iii) agricultural research and extension programs with agricultural planners and policy-makers; and, (iv) programs in research and extension with an agricultural training program.

(c) Ability to develop a plan for agricultural research and extension that reflects their role in Malawi's economic development process and is consistent and responsive to the purpose of the MARE Project as well as the objectives of the MOA's development program.

(d) Understanding of the important factors and constraints that should be considered in setting program priorities, and ability to develop a plan for agricultural research and extension priority-setting.

(e) Knowledge of mass communications techniques used in disseminating agricultural production technologies in developing countries, and ability to formulate a plan for testing, incorporating, and replicating appropriate mass communications techniques to strengthen the MOA's extension program.

(f) Understanding of the critical factors that constrain women farmers' access to agricultural services, and ability to develop a plan for assisting the Women's Program Section to draw up a comprehensive strategy for integrating women farmers into the mainstream of the MOA's development programs.

(g) Ability to develop a 5-year workplan for implementing the research and extension components of the MARE Project within the context of the MOA's development program. The workplan should:

(i) incorporate the plans and strategies called for in (a) through (f) above; (ii) take into account the objectives of the MARE Project's Training Component and the activities proposed in the IDA-financed National Agricultural Research Project and Agricultural Extension and Planning Support Project; (iii) identify the requirements for short-term technical assistance with the limits of funding available in the MARE Project (i.e., 64 person-months); (iv) identify critical areas in which degree and non-degree training will be required to meet the objectives of the MOA's research and extension programs; and, (v) illustrate how the MARE Project activities in research and extension fit into the larger MOA development program.

(h) Ability to formulate a plan for developing working relationships with the GOM in a way that emphasizes the role of the MARE Project in assisting the MOA to strengthen its institutional capabilities.

2. Institutional Qualifications

(a) Demonstrated commitment of the leadership of proposing institutions to international development, and in particular, a statement of the level of commitment to the MOA development program, of which the MARE Project is one of the components.

(b) Ability of the lead institution to mobilize qualified technical personnel from its own staff, from other universities, International Agricultural Research Centers (IARCs), and from appropriate private firms to meet the technical requirements of the MARE Project.

(c) Technical competence of the lead and supporting institutions in the multiple disciplines called for in the MARE Project, and adequacy of facilities to support Project activities within the context of the MOA development program.

(d) Previous and current experience of the proposing institutions in implementing similar projects in developing countries, preferably in Sub-Saharan Africa.

(e) Ability of proposing institutions to nominate at least 3 qualified candidates for each of the long-term technical positions called for in the research and extension components of the MARE Project, and ability to field the selected candidates of the technical assistance team in a timely manner.

(f) Philosophy of the proposing institutions with regard to the nature of working relationships that should be developed vis-a-vis the MOA, including a statement of the proposing institutions' views of how technical, administrative, and management accountability should be developed.

(g) Proposing institutions' knowledge of technical resources available from IARCs and other agricultural institutions, and a demonstration of relationships developed with these institutions.

(h) Demonstration of ability to provide, in a timely manner, the necessary institutional support to the technical assistance team (both in emergency and non-emergency situations), and of ability to meet the required financial and technical progress reports.

(i) Ability to propose a plan to meet the administrative, logistical, reporting, and institutional representation requirements of the MOA, USAID, and the Title XII home office.

3. Qualifications of the Technical Personnel

(a) Technical competence of the technical assistance candidates for the long-term and short-term positions required for the MARE Project, as demonstrated by their training background and previous international development experience.

(b) Quality and relevance of the technical assistance candidates' previous international development experience.

(c) Demonstration of the long-term candidates' ability to conceptualize and formulate plans of action independently (i.e., ability to assume the role of filling technical gaps in the MOA), as well as perform effectively in group planning and implementation activities.

EVALUATION CRITERIA FOR TECHNICAL PROPOSALS -- RANKING SHEET

Indicate the relative percentage (total = 100) for the three criteria areas. Within each area, indicate high (H), medium (M) or low (L) for the relative strength that should be given to each specific criterion.

Area 1: Technical Quality and Responsiveness of the Proposal

	H	M	L	_____ %
a) FSR/E Concepts and Approaches	_____	_____	_____	
b) Institutional linkages	_____	_____	_____	
c) Research/Extension planning	_____	_____	_____	
d) Research/Extension prioritysetting	_____	_____	_____	
e) Mass communications	_____	_____	_____	
f) Women's Program	_____	_____	_____	
g) Five-year workplanning	_____	_____	_____	
h) Ministry relations	_____	_____	_____	

Area 2: Institutional Qualifications

	H	M	L	_____ %
a) Commitment of leadership	_____	_____	_____	
b) Multi-institutional proposal	_____	_____	_____	
c) Institutional Technical Competence	_____	_____	_____	
d) previous-current experience	_____	_____	_____	
e) Multiple candidates/position	_____	_____	_____	
f) Philosophy & HC relation	_____	_____	_____	
g) Knowledge resources/linkages	_____	_____	_____	
h) Institutional support-backstopping	_____	_____	_____	
i) Administrative plan & relations	_____	_____	_____	

Area 3: Qualifications of Technical Personnel

	H	M	L	_____ %
a) Technical competence of candidates	_____	_____	_____	
b) Quality/relevance of experience	_____	_____	_____	
c) Individual/collaborative work	_____	_____	_____	

Total = 100%

GS

II. SELECTION CRITERIA FOR TITLE XII TECHNICAL ASSISTANCE PERSONNEL

(D R A F T)

12/10/85

Technical assistance persons are expected to play a wide variety of roles including competent technician, trainer, educator, diplomat, advisor, learner, representative, leader, colleague and so on. This requires competency in a wide range of skills and behaviours; in addition, the results of a technical assistance effort are often as deeply affected by attitudes and commitment as by technical competency. An assessment workshop will be held jointly with officials from the Government of Malawi, USAID and the selected Title XII institution to choose the final team members. These criteria are tentatively proposed for the final selection of the team who will join the technical assistance team to work with the Ministry of Agriculture on the project.

The assessment workshop will be designed to provide an opportunity for the candidates to interact both formally and informally in ways which will provide the officials and themselves information about competence in relation to these criteria.

Criteria

Specific Dimensions of Criteria

COMMUNICATION

English -- written:
clear, concise, conceptually precise,
adapts to audience

English -- oral:
responsive, proactive, clear, interactive and builds
on discussion with others

Small Group:
Experiences and effectiveness in leading, working with
and participating in small team and group work

Large Group:
Effectiveness in Presentations of different varieties
participating in design and delivery of same,
effective delivery style for different types of groups

Interpersonal:
Comfortable in familiar and ambiguous situations,
willing to be open and genuine, relating well and
focussing on present situation and persons

Intercultural:
comfortable in different settings & different roles,
experience and effectiveness in variety of cultures,
listens, paraphrases, does not relate
everything to single cultural and/or personal referent

cb

TEAM SKILLS

quickly adjusts to interpersonal styles of colleagues
demonstrates skill in obtaining agreement and consensus without resorting to overt authority

listens and values resources other persons bring to bring to the group and problems/situations rather than dominating and prescribing

demonstrates skills of summarizing, paraphrasing and engaging others to achieve clarity and understanding

willingness to do whatever needs to be done

can describe roles and responsibilities clearly and with regard for relation and dependency on others

overall is optimistic, not a complainer or loner, shows interest in getting to know others at all levels

able to recognize, be sensitive to, encourages and adapts to changes in team & individual moods

elicits and supports others in ways which build excitement, commitment and realism

INSTITUTIONAL
ASSESSMENT & CAPABILITY;
AND PROJECT/PROGRAM
AUTONOMY

has knowledge of major donors and works well in multi-organizational context;

demonstrates awareness of how bureaucracies work and don't work in developed and developing nations

identifies institutional values which may be in conflict or congruent and maintains third party role

analyzes and articulates themes/issues in situations explores alternative interpretations

assimilates institutional information quickly and probes beyond ambiguous or incomplete information

values and responds to full host country involvement and direction at all stages

can accurately and objectively assess the resource base (especially host country) and the absorptive capacity to support discrete activities and programs

is knowledgeable of and effective working in complex change situations, with particular regard to interfaces and coordination

demonstrates an understanding of development & institutionalization based on patterns of activities as well as structures

MANAGEMENT SKILLS
AND VALUES

displays meeting skills, e.g., setting appropriate climate, getting goal agreement, collaborative agenda setting, effective time management, summarizing and closure

displays situational leadership skills and ability to manage decision-making processes without authority

willing to express opinions/information against consensus, but willing to accept decisions against own preferences and to implement them

can differentiate between short-term consequences and long-range goals and consequences

can adapt management styles to different group and cultural situations while maintaining personal and value integrity

manages time and content well against determined priorities in spite of unexpected events and changes in context

elicits excitement and commitment from others in collegial and hierarchical relations (both higher and lower in authority)

is realistic in assessment of problems, opportunities, resources, schedules, timing and commitment

addresses most critical issues and can distinguish between real and apparent issues

demonstrates grace and performs well under pressure and change

demonstrates understanding of methods and techniques to wisely utilize times, funds, facilities and human resources

takes initiatives and is willing to sacrifice personal needs for achieving group/institution needs in a balanced way

management styles are not culturally bound, while acknowledging cultural basis of behaviours, values and expectations

can adapt to cultural management styles and behaviours which are not characteristic of own culture, and is effective in subordinate role in this situation

able to analyze and critique honestly the management values and styles of self and others

**PROBLEM-SOLVING
AND GOAL ORIENTATION**

identified bottlenecks, barriers, opportunities and support, and acts quickly to address and mobilize

demonstrates understanding and effectiveness in group problem-solving/decision-making

asks good open-ended questions about potential developing situations and listens and clarifies consistently before forming final views/opinions

identifies values underlying behaviors and their implications for issues and decisions

gives and receives feedback comfortably in both positive and negative situations

is sensitive to changes in group and individual changes in content and mood

demonstrates ability to conceive, develop and defend personal views without dominating, and can adapt these to views of others without losing personal integrity or perspective

is sensitive to and effective in maintaining a "third party" role in problem-solving and technical cooperation

**DEVELOPMENT AND
PROGRAM VALUES**

articulates realistic value for and awareness of constraints and opportunities in development program design and management

demonstrates personal belief in inclusion of host country personnel as equals at all stages and in all dimensions, and is willing to take direction from host country personnel overall

articulates positive belief in capability of host country to develop their own country within their value structure

is open, honest and non-patronizing, arrogant nor subservient in dealing with host country officials and persons at all levels

demonstrates understanding of other cultures differentiations within cultures and interactions between cultures and sub-cultures--and the impacts of this on development

has understanding of the complexity of technical assistance roles and the need for cooperative work modes in development context

ADAPTABILITY

Is willing to conform to new and alternative ways of performing familiar tasks

Is willing to undertake and experiment with new and unfamiliar tasks and situations

Both verbal and non-verbal gestures and behaviors are relatively relaxed and at ease in familiar and unfamiliar situations

Is open, direct and honest about discomfort and displeasure in uncomfortable situations

Indicates willingness to be flexible, not rigid and open to new information in situations that are unusual or rapidly changing

assumes initiatives while working in team modes for achieving project and program goals

helps others adjust to new surroundings, approaches groups and assignments,

identifies and resolves conflict situations with candor and honesty

demonstrates willingness and aptitudes to learn when confronted with new or difficult situations and circumstances

tries out new behaviors, new foods, etc. and reacts with little frustration to new and/or ambiguous situations, adapts rapidly and comfortably to new or changing environment

balances work patterns to be effective, is willing to work hard and long, but also smart

sensitive to attending to own personal needs and acknowledges personal needs of others

can manage personal affairs related to family, office, project and institution without excessive delay, complaint or resource demands

MUTUAL LEARNING AND SKILLS TRANSFER

understands learning as an interactive process based upon mutual openness, consent and exploration of alternatives and conclusions

has continuing learning as a professional and personal objective

sees technical assistance as a cooperative, joint venture to which all sides contribute and benefit

is familiar with training and educational approaches, is comfortable and effective with variety of these in both formal and informal settings

has sufficient knowledge in adult education, interpersonal interaction, training techniques and learning theory and adapts to widely varying settings

sees technical assistance role as comprehensive responsibility related not only to doing tasks, but as a key to institutional strengthening and development throughout whole organization and context

establishes a learning climate, can lead technical and process discussions, demonstrates ability to intervene in discussions to focus on learning

demonstrates capability to develop effective designs for formal and informal training and educational situations

TECHNICAL
COMPETENCE
(to be adapted for
each specialist,
but some generic
can be noted)

describes, understands and values benefits which can accrue to Malawi from improvements in area of specialization

understands interaction and interdependence of technical and managerial skills for development

is familiar with process for and is effective in developing appropriate technical assistance plans, which are appropriate to country needs and consistent with donor and sponsor mandates

can evaluate with confidence and competence technical information concerning technical areas and management or resources required for host country effort

able to discuss and knowledgeable of available technical resources in regional and international networks

can articulate technical and managerial dimensions of specialization for all levels

understands and operates in interdisciplinary way, integrating research, extension and programming for more effective institutional and program strengthening

uses technical capability to respectively identify and solve problems, is not prescriptive and operates within program goals to implement technical plans

can create technical assistance plan to reflect understanding of appropriate uses of action-based, performance-oriented training and competency development

understands variety of roles for technical assistance personnel and is willing to change over time to those most appropriate to a particular phase/situation

demonstrates capability to make relevant technical presentations and to adapt technical information to specific development contexts

level of familiarity and competence to be able to adapt language and concepts without putting down other professionals or lay persons seeking information about technical area, communicates at appropriate levels to meet needs of teams colleagues and clients

DEVELOPMENT AND
BUREAUCRATIC
EXPERIENCE

has experience in similar or comparable development programs and projects

has experience in institutional strengthening and training and is able to share credit with larger team and or institution, especially with host country or local organizations and staff

has experience in bureaucracy in both developed and developing nations, and familiarity with bureaucracies working in development

is able to analyze new development situations and identify clear objectives and strategies for achieving development goals

proposes alternatives in situations, rather than posing one correct solution, focusses on essential elements rather than totally packaged solutions

observes and focusses the essential elements of a situation or approach, but is not simplistic in analysis

anticipates that actions will emerge from a process of extensive dialogue involving all involved, does not expect quick results from "right solutions"

engages effectively in formal and informal exchanges to build understanding and agreement in groups with diverse perspectives and interests

Suggested Title XII Institutional Assessment Criteria

Some Assumptions

List is illustrative, not exhaustive.

Further design and management of each step to occur.

"pre-site assessment/post short listing" additional submission may be asked from institution.

Institution is university or university consortium.

Site assessment will be structured, managed process for which the assessment team and the institution will each prepare.

Illustrative Criteria and Areas for Assessment.

The contractual Scope-of-Work complements the overall mission, current activities, and prior experiences of the institution.

-Demonstrated commitment to addressing the constraints and opportunities of agricultural and rural development in poorer nations.

-Level of activity and linkages in academia, in the public sector, in associations and organizations which address issues of agricultural development.

-Study programs focused on development issues, interdisciplinary in nature, and which deal with the problems of smallholders are offered.

-An institutional locus for Technical Assistance activities exists.

-Evaluation, promotion, and incentive systems within the institution are designed to recognize, and integrate, and reward overseas service.

The institution has in-depth institutional (as differentiated from individuals') experience in work similar to this SOW.

-What "similar" work has the institution carried out?

-What approach was used to the work?

-Multidimensional meaning to "similar work":

* technical focus of smallholder production through strengthened research and extension links

* the specific crop, commodity and other technical areas

* the provision of effective long and short term technical assistance

- * prior work in (1) Malawi, (2) east and southern Africa, (3) Africa, (4) the Third World, (5) "similar" U.S. settings.
- * methodologically in terms of successful support of adoption of improved technologies by local participants
- * technical experience with farming systems, on farm research, local cultural practices, and local development of innovations
- * successful functioning as procurement agent.

-How have learning been gathered and applied?

-Ask for names of third host country nationals with in-depth familiarity of the institution's activities and approach who could be directly contacted.

-Clear articulation of how this opportunity "fits" the institution.

3. In carrying out this work, the institution will use a coherent strategy and approach, consistent with the overall MARE Project and MOA program goals and strategies, fully integrated into overall program implementation.

-Understanding of the overall MOA program, the role of the MARE Project within that, the role of the Title XII contract within that and the key activity areas under that contract; understanding and valuing of the overall approach being taken in implementing the project; and the ability to identify key guidelines for the approach the institution would take toward the work.

-A specific management and administrative systems for the contract, which while integrated into overall institutional systems and processes also provides for direct management and the supervision of all technical assistance efforts by the GOM.

-A proposed approach to overall Title XII contract management and guidance which "fits" the overall program effort, and the expectation for this technical assistance.

-An approach for assuring that the technical assistance effort will focus on institutional strengthening and capacity building as the crucial outcomes of technical roles.

-An approach which reflects a general understanding of the opportunities, excitement, and constraints of smallholder agricultural development in poorer nations.

-A specific plan for assuring integration of any technical assistance assignment in the work with regular institutional incentives and promotion systems.

-Plans for how procurement activities will be carried out with maximum involvement of the MOA.

-A specific approach to working with the program in providing short term technical assistance; identification of considerations in assessing and responding to needs; in identifying, assessing and selecting TA providers; in preparing, supporting and debriefing them; and applying learnings.

- An approach to planning, monitoring and evaluating institutional services consistent with the overall program approach and purposes.
4. The institution has access to a wide range of potential technical assistance providers in relevant areas, from both within and without the institution's community, and the institution has a substantial track record of successfully tapping both these sources.
- Nature, size access and use of TA providers for databank.
 - System for systematic match-up of the full range of skills required for technical assistance delivery with individual capabilities.
 - Nature, extent, frequency of use of individuals from within the data bank (as opposed to ad hoc recruiting), as well as nature and frequency of contact with those in the bank who are not regularly used.
 - System for regular evaluation of TA providers and assignments, and use of the data in future assignments.
 - Acceptable "standard" timeliness from TA request to TA provision on site and special procedures for meeting urgent requirements. The general satisfaction of TA providers used by the institution with their assignments and with the institution's administrative systems and support.
5. The institution is sensitive to, and experienced in technical assistance efforts involving multiple donor coordination, multiple contractors, and multiple and varying contractual arrangements and compensatory systems.
- Ability to identify anticipated issues, and suggest approaches to address them.
 - Clarity as to which of the institution's systems and requirements are subject to contract-specific modification, and which aren't, and the impact of this on overall program integration and coordination.
 - Understanding of the likelihoods, procedures and timeliness involved in modifying the institution's standard systems.

SECTION 7
EXPANDED DISCUSSION OF STRATEGY STATEMENTS (DRAFT)

The first pages of this section, "Strategy Statement for the Three Projects", were distributed as part of the working papers for interviews before the second Ministry meeting. The rest of the paper received very limited distribution it includes expanded discussion of some of the strategy statements and should be viewed only as background material for discussion with and among the consulting team.

1. Proposed Strategy Statements for the Three Projects
2. Overall Management
3. Donor Coordination
4. Training

1/2/80

PROPOSED STRATEGY STATEMENTS FOR THE THREE PROJECTS

INTRODUCTION

In the last few months, as part of on-going development of its agricultural program, the Government of Malawi (GOM) has negotiated three new agricultural projects, involving total financing (GOM plus donors) of over U.S. \$80 million:

- The Malawi Agricultural Research and Extension (MARE) Project, supported by a US \$14.8 million grant from USAID;
- The Malawi National Agricultural Research Project, supported by a US \$23.8 million loan from the IDA; and
- The Malawi Agricultural Extension and Planning Support Project, supported by a US \$11.6 million IDA loan.

The overall goal of these projects is to increase the productivity of the smallholder agricultural sector by improving the relevance, quality and timeliness of the information available to smallholders. The approach used is to strengthen the research, extension, training and planning functions of the Ministry of Agriculture (MOA), focusing on assuring appropriate linkages between research and extension throughout the agricultural services delivery system. Funding for the Projects supports institutional reorganization and development, long term postgraduate training, extensive in-service and pre-service in-country training, civil works construction, expanded utilization of mass media for extension, and technical assistance.

The three project designs are interrelated; although each one funds discrete activities, each one's success is dependent upon the other two. In view of this, it was jointly decided by the donors and the GOM that implementation of the three Projects should proceed in a coordinated integrated fashion. As an early step in this process, USAID is providing technical assistance to the MOA for pre-implementation planning, with a team from the Development Programs Management Center (DPMC) of the United States Department of Agriculture (USDA). Based on interviews with responsible individuals in the MOA and donor organizations, the following set of Strategy Statements has been drafted for discussion.

The purpose of these Strategy Statements is to highlight essential principles and elements to guide subsequent decisions and actions for successful implementation of the Three Projects. These statements, as now stated, summarize key points from interviews with key officials in the MOA and the Projects' documentation. The strategy statements, once finalized by those responsible for the Projects, will reflect shared understandings among all those involved, and thus provide the basis for further articulation and implementation of the Projects.

STRATEGY STATEMENTS FOR OVERALL GUIDANCE OF THE PROJECTS

1. Increased smallholder agricultural productivity requires increases in yields of traditional primary crops and diversification into higher value cash crops.
2. Increased agricultural productivity is highly dependent upon more effective delivery of relevant information, services and agricultural inputs through the MOA and related institutions.
3. MOA's institutional performance to support smallholder agricultural will be increased through improved capacities for planning, training and adaptive research closely linked to extension.

STRATEGY STATEMENTS FOR PROGRAM AND PROJECT MANAGEMENT

1. The Projects need to be viewed as part of Malawi's overall agricultural development program.
2. Success of the Projects is likely only to the degree that they function within a Ministry-wide context.
3. The approach to implementation taken by the Projects must be consistent with the overall strategies used by the MOA for agricultural development.
4. For the success of the Projects, direction, decision-making and monitoring must emanate from a single, well-informed and organizationally powerful source.
5. The approach to implementation of these Projects should provide a replicable model for further use by the GOM.

STRATEGY STATEMENTS FOR DONOR COORDINATION IN THE PROJECTS

1. The donor coordination which has been a critical part of the design and the design process for the Projects must be systematically maintained and intensified.
2. Donor coordination must be an interactive process engaging the MOA, the World Bank, USAID and other relevant organizations at multiple levels to ensure effective collaboration and cooperation.
3. Effective donor coordination requires that all organizations take the long-term program perspective of the MOA.
4. Donor coordination must be translated into unified operational systems consistent with MOA policies, practices and capacities so that, over the long-term, MOA is structurally and functionally strengthened.

STRATEGY STATEMENTS FOR TRAINING IN THE PROJECTS

1. The ultimate purpose of training is institutional strengthening to improve MOA's performance at all levels.
2. Training must be performance-oriented, competency-based and linked to MOA planning and programming to ensure that the MOA, the groups and the individuals involved all get relatively immediate and effective results.
3. The overall training orientation will be to coordinate the total range of approaches and activities associated with training and to strengthen the integration of technical, departmental and functional areas.
4. The Training Advisory Committee and Training Unit will become the focal points for enhancing, rationalizing and managing an institutionalized training program.

C. STRATEGY STATEMENT FOR OVERALL MANAGEMENT OF THE PROJECTS

1. The Projects need be viewed as part of Malawi's overall agricultural development program

The Projects are three interrelated elements in the overall agricultural development program of the MOA. They are part of continuing sector-wide efforts to improve effectiveness. As such they must be measured for investment pay-off under a time horizon much longer than the investment period. They must also build upon the strengths and lessons learned from previous efforts, complement simultaneous ones, and lead to future support of the agricultural program.

2. Success of the Projects is likely only to the degree that they function in a Ministry-wide context.

This principle follows from the relationships of the Projects to the overall agricultural program, as well as from the interrelationships of project elements with virtually all MOA activities. It has specific implications on the structure and operations of the Projects:

- the Projects Steering Committee must be mandated and structured so as to be able to keep all parts of the MOA involved and informed;
- the Planning division must provide overall planning focus, overview and coordination of all aspects of the agricultural program;
- the MOA Training Unit must provide focus, overview and coordination of all aspects of agricultural program training;
- all Project activities must be linked to the overall strengthening of the research-extension linkages and to improved services delivery. This must be true regardless of funding source of the particular activity (GOM, IDA, USAID, or others).

3. The approach to implementation taken by the projects must be consistent with the overall strategies being used by the MOA for agricultural development.

The design of the Projects has been carefully reviewed and negotiated by the GOM to fit into overall longterm strategies. Implementation must provide structures and methodologies which are similarly cross-departmental, decentralized, and reflect a devolution of management and decision-making as close to the actual service delivery level as possible. Further, at each level of the delivery systems, from headquarters to ADD to RDP to EPA, the linkages between research and extension must be addressed and strengthened.

4. For the success of the Projects, direction, decision-making and monitoring must emanate from a single, well-informed, and organizationally powerful source.

There are many aspects of these Projects which require such a single source:

- the Projects embrace a very wide range of potentially discrete activities which must be kept coordinated and integrated into an overall agricultural program plan;
- the activities have an impact on the entire Ministry, even on those units not formally addressed by them;
- the large amount of participant training in the Projects, combined with the substantial number of expatriates who will be brought into the MOA through the Projects, leaves significant vulnerability to discontinuities and disruptions as personnel come and go;
- the wide range of funding sources and contractual mechanisms to be used in the Project complicate management, reporting and problem-solving.

To address these issues, a single Projects Steering Committee oversees all activities. This Steering Committee provides the PS with a widely representative, well-informed advisory group made up of key Ministry leadership. It will review and advise on overall direction of the Projects, the success of their implementation, lessons being learned, and areas needing strengthening. It will also review, approve and monitor annual workplans and budgets for the Projects overall and for each of their key components. This will be done within the overall planning context of the Ministry.

5. The approach to implementation of these Projects should provide a replicable model for further use by the GOM.

The careful structuring of these Projects to fit into a larger program context, with attendant emphasis on multi-donor involvement and coordination from the outset, provides a rare opportunity to develop an implementation methodology which both provides strong support for project success, while integrating the Projects with larger goals and longer range investment returns. The implementation activities should thus be approached in a way that provides continuous learning to the GOM and the donors. This will require specific efforts and resources to develop this particular experience into a replicable implementation strategy.

D. STRATEGY STATEMENT FOR DONOR COORDINATION IN THE PROJECTS

Effective donor coordination has been the intent of the GOI, the World Bank and USAID since the conceptualization of the Projects. Their concepts, timing and resources have been designed and planned for synchronized and integrated implementation. This Strategy Statement highlights essential principles which underline donor coordination in the Projects, and which must be agreed upon and used to guide implementation.

- 1. The donor coordination which has been a critical part of each design and the design process of the Projects must be systematically maintained and intensified.**

Donor coordination is an explicit aspect in the project designs. Implementation start-up and ongoing implementation assistance are essential, and must be carried out collaboratively and with consistent methodologies for all activities involving donor coordination, regardless of the specific project plan in which they may appear. Resources are required for carrying out activities in areas such as supervision and evaluation, some of which are already identified and budgeted.

The project designs indicate areas of shared and complementary activities. Although functional areas are divided among the projects, there are some activities in which there may be ambiguities in the proportions and means for joint sponsorship and/or integration of selected activities. This should be addressed at project start-up to avoid misunderstanding and mismanagement.

Due to personnel turnovers in donor and host country organizations, reviews, clarifications and re-establishment of shared agreements, understandings and relationships should occur periodically.

- 2. Donor Coordination must be an interactive process engaging the MOA, the World Bank, USAID and other relevant organizations at multiple levels to ensure effective collaboration and cooperation.**

The MOA, World Bank and USAID must operate as fully active partners in well defined collaborative processes, and bring in other relevant organizations as necessary. However, there must be a distinction of roles and interests so that coordination reflects the requirements and strengths of each for achieving effective coordination.

For all of these organizations, donor coordination in the broadest sense must focus on three dimensions: (i) an inward focus upon the funded project/program, (ii) an organizational focus on the various levels of donor and host country organizations (e.g., balancing field and headquarters, functional divisions, etc); and (iii) nurturing and maintaining relationships with clients and sponsors in the environment. Disruptions or problems in any of these dimensions can undermine effective coordination.

3. **Effective donor coordination requires that all organizations take the long-term program perspective of the MOA.**

For these projects, donor coordination has been undertaken from the beginning within the program perspective of the MOA and with the guidance of MOA leadership. The program perspective of the MOA has a historical, experience-based justification and a set of long-term objectives which need to be understood as a basis for more immediate project implementation and coordination concerns and issues.

4. **Donor coordination must be translated into unified operational systems consistent with MOA policies, practices and capacities so that, over the long-term, MOA is structurally and functionally strengthened.**

Tentative plans have been proposed by donors and discussed with the MOA for joint activities in areas such as supervision, monitoring, financial management and evaluation. For assistance to be maintained, it is critical that all donor requirements (such as regulations, reporting and supervision) must be met. However, it is recognized that this should be done in ways which minimize extra-ordinary, non-programmatic demands which could overload and fragment MOA capabilities, structures and processes. Areas of flexibility in both MOA and donor systems will be identified and adapted to meet requirements, and evaluations will assess overall impacts upon the MOA's viability and strength. While meeting the requirements of donor agencies for receiving financial and technical assistance, the most important criterion is the strengthening of the MOA program in ways which are sustainable and replicable.

E. STRATEGY STATEMENT FOR TRAINING

A strengthened training program is highlighted in the Projects as one of the principal factors to improve MOA's institutional capabilities, responsiveness and effectiveness. A Training Advisory Committee (TAC) and Training Unit (TU) will be established and supported. The TAC recommends and interprets training policies, set training priorities and strategies, approves training plans, monitors training activities, reviews training evaluations, and approves overseas training candidates. The TU is a central coordinating point for planning implementing, monitoring and evaluating MOA's training program.

To be successful, training policies, programs and activities should be guided by the following principles.

1. The ultimate purpose of training is institutional strengthening to improve MOA's performance at all levels.

MOA's mandate to support and service agricultural production and industry requires a comprehensive range of organizational and individual competencies that are coordinated and integrated into a cohesive program. Training must address performance gaps at all levels. Performance gaps can occur at all MOA hierarchical levels and may involve competencies of individuals, teams, units, divisions, departments, committees, management and/or interactions between any of the above. The success of training must be measured by the extent to which there is an ongoing program to ensure that the competence at every level is being assessed and enhanced to carry out and integrate the required functions to meet MOA's goals.

2. Training must be performance-oriented, competence-based and linked to MOA planning and programming to ensure that the MOA, the groups and the individuals involved all get relatively immediate and effective results.

Demands for urgent improvements in agricultural services and production are high. Training investments can be very expensive in terms of direct costs of training experiences and indirect costs such as absences, substitution of staff and technical assistance, program dislocations and so on. The present situation in Malawi demands consideration of short-term as well as long-term results. All training investments will contribute to better performance within the MOA by ensuring that the primary decision criteria include (i) relevance and appropriateness, (ii) application and adaptability to the Malawi and MOA context, and (iii) productivity or results in the immediately foreseeable future. Programming must ensure that individuals, their respective units and all other relevant parts of MOA are involved, use and benefit from specific training events.

3. The overall training orientation will be to coordinate the total range of approaches and activities associated with training and strengthen the integration of technical, departmental and functional area.

Individual training units have been developed at departmental levels. At present, there is no structured way to avoid fragmentation of efforts and to promote complementarity and consistency of approaches. Approaches, systems, and procedures will be developed to overcome duplications, gaps and other difficulties which undermine effectiveness of training efforts. Overall, integration will be emphasized, e.g. linkages of extension and research teams, and individuals, technical and management skills, and so on. Finally, the total learning experience related to training events will be developing approaches which ensure that individuals, teams and their units are involved in preparation for and follow-up to all training events.

4. The TAC and TU will become the focal points for enhancing, rationalizing, and managing an institutionalized training program.

Training is an important management tool and must be closely linked to short-term and long-term planning and policy-making. The TU is a single focal point for ensuring coordination, consistency and comprehensiveness of training in the MOA. The TU will work closely with all departments through training units, working groups and other mechanisms to develop process to assess and strengthen present training capacities at all levels in MOA. Emphasis will be on training of trainers and cross-fertilization of training and technical content and methods. The approach will emphasize the importance of training and learning as a dimension of all relevant program components, such as technical assistance, adaptive research, and so on. Finally, technical and management training will closely link management skills and technical areas as both are required at all levels of efficient and effective programs.

SECTION 8
NOTES OF MEETING -- USAID AND IDA REPRESENTATIVES
SEPTEMBER 27, 1985 and OCTOBER 1, 1985

This paper received limited distribution following the meeting.
It was reviewed and accepted in general by Mr. Richard Day of
USAID and Ms. Carman Haaman of the World Bank.

1. Purpose
2. Agenda
3. Summary of Key Points,
Agreements and Issues
Discussed

NOTES OF MEETING
World Bank and USAID Representatives
27th September and 1st October, 1985

Subject: Implementation Start-up and Donor Coordination on Three Projects for
Agricultural Planning, Research and Extension

Participants:

27/9/85

Ms. C. Haaman
Mr. R. Day
Mr. G. Rioseco
Mr. D. Levine
Dr. M. Kettering

1/10/85

Ms. C. Haaman
Mr. R. Day
Dr. M. Kettering

Purpose: To reach shared understanding on donor coordination for the three
projects and to identify specific areas and steps for actions.

AGENDA

- * Review of roles and responsibilities in respective agencies
- * explore what we mean by donor coordination
- * examine some specific issues:
 - common approach to implementation start-up and support
 - integration of management and technical training
 - coordinating technical assistance
 - enhancing the training function
- * anticipating the October Joint Mission and Parallel Activities
- * setting agenda for meeting with Planning Division
- * Review and next steps

SUMMARY OF KEY POINTS, AGREEMENTS AND ISSUES DISCUSSED

1. A concern was raised initially with respect to key persons staying in place for the life of the project. However, since the project pivots on training as a central component, the projects, by design, create some discontinuity and disunity. Nonetheless, excessive absences of key personnel during important periods and events is disruptive to smooth implementation.

It was concluded that the concern is best expressed as the importance of continuity for management and direction of the project. This can be achieved in several ways. First, there is a crucial importance in urging continuity of key appointments within the project. These need to be identified and discussed with the Government of Malawi. Second, there needs to be a way to plan for and monitor short-term absences so these are not excessively disruptive and are coordinated with major project activity streams and ongoing implementation concerns. Third, systems and/or practices need to be developed and used to create better linkages within the Projects to better handle departures and entries. This may include attention to role and leadership identification, hand-over procedures for short-term and long-term absences, delegations of authority, identifying backup persons and so on. This matter is so important that it needs to be explored further during implementation planning with the MOA.

Action Implications:

Initiate joint discussions with top-level MOA officials on this matter. Identify specific procedures or systems which will facilitate continuity. Agree upon how to monitor and spot warning signals that need donor attention.

(note: the meeting of 27/9 ended with the identification of #2 below; the meeting of 1/10 began with this point on the agenda.)

2. It is desirable, even essential, for successful implementation to develop common monitoring and evaluation system. The project design suggests joint monitoring using a monitoring and evaluation system focussed on the same key indicators. Both the World Bank and USAID are committed to coordinating their monitoring and evaluation in ways which minimize demands upon the MOA and which enhance the management learning and capabilities of the MOA.

The systems of both the World Bank and USAID are adaptable to some degree to fit specific project conditions and requirements. There is a "generalized" monitoring system used by the World Bank which provides generic guidelines and procedures. It can be adapted to specific country and project needs. The USAID monitoring requirements are generally not rigidly defined and can be adapted to specific project and country needs as well, if acceptable to USAID. Both systems require approved annual workplans and budgets. Both can use key indicators and targets for monitoring progress. Both can use Quarterly Reviews and can coordinate their reviews with other donors.

Technical assistance is being provided to help strengthen and improve MOA's management systems, including planning, monitoring, reporting and evaluation. This includes advisors and specialists for planning, evaluation, financial management, etc. It is not possible to change the systems for the first year's planning, so present systems will be used and adapted as necessary to meet immediate requirements. It is also unlikely that new or modified systems will be in place by mid-year for the planning of Year 2. Therefore, the donors will accept uses of present systems to meet requirements, with the expectation that more effective and efficient systems and practices will be operational for the planning and monitoring of Year 3 of the Projects. Thus, planning in more general categories will be acceptable in Years 1 & 2; more specific and integrated planning and monitoring will be expected in Year 3 and beyond.

Action Implications:

The donors will give immediate attention to shaping and adapting their systems and requirements to fit each other's and MOA's needs and capacities. This may require, for example, bringing in other expertise, e.g., from AID's Regional Financial Management Center (RFMC), to explore adaptability and fit on systems, reporting and practices. The donor representatives need to identify next steps and initiate those which may have some urgency.

3. There is a question of where responsibility for implementation rests. The lead for implementation remains somewhat unclear. Ultimately, it rests with the PS, and with the Steering Committee which has representatives from all relevant organizational areas. However, given present practices, arrangements and tendencies, this can lend itself to five sub-projects. It was noted that management improvement is a goal of the project and needs to be monitored closely. The Planning Division holds overall responsibility for operational coordination as Secretariat for the Steering Committee and in its normal MOA functions. This will be strengthened through the Projects and needs to be monitored closely. Also the performance of the Steering Committee must be enhanced and therefore monitored so it is given feedback and guidance on an agreed upon systematic basis. Since this will likely involve some technical assistance, the donors should examine where the analysis and strengthening functions for the Steering Committee rest. Where is this function best located and where in the structure can it be located to be done most easily.

Action implications:

Explore monitoring of the Steering Committee (Management Committee) performance in relation to function, location and technical assistance with PS and other officials. Link recommendations to implementation planning activities and to TORs for TA as appropriate.

Raise consciousness within MOA of the importance of the Management Committee's learning to be more effective and efficient at the level of managing processes and promoting viable, integrated programs achieving MOA's goals. Make the learning process of the committee and explicit area for enhancement and monitoring.

Explore if these issues should be on the agenda for the next pre-implementation meeting and if so, how they should be stated.

4. Implementation start-up and support coordination is already initiated and some forward planning has begun. A lot of time and energy (donor, host country and consultant) have been spent getting on board, raising key issues, setting up relationships, agreeing on approach and norms, and initiating implementation planning. Duplication of effort, especially from the donors, should be and can be avoided. Since much of this is a matter of style, it is important to keep continuity of the effort--including consistency of approach and maintaining persons involved.

The World Bank will conduct pre-planning on "extension", beginning with a planning trip by Jerry Silverman and Carmen Haaman in November with a series of seminars (3 at least) commencing in February. The focus of the seminars will be on project objectives and impacts/implications for all levels. USAID supports further implementation start-up assistance, but needs to see that CP's are met to release funding for this work.

It was agreed that all implementation start-up and support assistance should meet the common needs of USAID, IDA and MOA. The decision to approach the three Projects in an integrated way as done by the DPMC team will be followed for subsequent activities.

Specifically, it was proposed that a member of the DPMC team join the planning team in November and that the seminars be jointly supported and conducted, thus building upon the work already done and modelling coordination for ongoing implementation.

Action implications:

Inform relevant USAID and World Bank officials of this decision, particularly those involved in the seminars (Jerry Silverman, etc.). Develop realistic work plan and action steps, including briefings in Washington, collaborative design and planning, identifying and releasing funding. Explore possibilities of using USDA personnel through World Bank funding. IDA Jerry Silvermann

5. Coordinating technical assistance is one of the most important areas for successful project results. It was agreed that all TA should be seen as a "team" and that coordinating mechanisms should be established. It is very important that the government be pivotal in the coordinating processes so that TA personnel feel high loyalty to the government (MOA), not just their home organizations. The variety of contracting mechanisms used and the departmental strengths within MOA may lead to fragmentation of the TA effort. Attention must be given very early to developing coordination processes and mechanisms.

Fruitful areas for TA coordination (which includes volunteers as well as identified salaried professional consultants) include:

- * recruitment and orientation (mostly pre-departure)
- * orientation, planning and start-up (in-country)
- * interpreting and reaching agreement on scopes of work
- * annual planning and reviews
- * networking and cross-organizational linkages
- * performance evaluations
- * closure processes and planning (what is left ahead)

Action implications:

Identify point of responsibility for (1) TA coordination and (2) establishing processes for TA coordination. This may be an important function for training unit if TA is seen to contribute to overall organizational learning. Explore implications for enhancing role/functions of training unit.

Identify how standardization and uniformity can be built into performance evaluations, e.g., evaluation reviews, quarterly reports, products, etc. Dick Day agreed to review the possibilities.

Reach early agreements on evaluations and contract management (e.g., processes for breaking contracts) with MOA.

6. Efficient financial mechanisms are critical for implementation. Some alternatives need to be explored, particularly payment mechanisms involving foreign exchange. IDA has negotiated with GOM (Reserve Bank) to set up an external account used by GOM and held in a bank abroad which IDA replenishes. MOF controls the accounts which are in place for NAR, Kasunga and Extension.

Action implications:

USAID will explore this possibility for components of their project.

7. Integration of Technical and Management Training will occur through the planning and programming of the Training Unit. These were separated between USAID and World Bank with IDA taking lead on funding management for the following reasons:

- * it feeds into the larger World Bank agenda of providing specific management assistance to/through ADDs and of providing overall economic management assistance through OPC/EPD to strengthen management at all levels;
- * it provides flexibility in funding a variety of training sources which goes beyond USAID constraints;
- * it builds upon and feeds into EDI's larger program of training for Malawi and in the Region; and
- * it links to IDA's support to strengthen planning and programming throughout the Government of Malawi.

The management training in the design must be done with loan funds as it is seen as a critical component of the projects, a main one in which the World Bank is interested.

SECTION 9
ACTION PLAN FOR IMPLEMENTATION PLANNING

1. Key Implementation Dates

INTENDED KEY IMPLEMENTATION DATES

SEPTEMBER 1985 - DECEMBER 1986

(Taken from Project Documents)

D. Levine (9/85)

	9/85	10/85	12/85	3/86	6/86	12/86
HARE	<ul style="list-style-type: none"> -Pro Ag Signed (9/20) -Steer Committee estab. (9/30) -Title XII TOR's drafted (9/30) 	<ul style="list-style-type: none"> -Trng Adv selected (10/31) -Trng Spec selected (10/31) -Trng Unit planned (10/31) -Initial Trng Plan estab. (10/31) -Trng Adv. Committee estab. (10/31) -Title XII RFP issued (10/31) 	<ul style="list-style-type: none"> -Trng Adv on post (12/31) -Trng Spec contracted (11/30) -Long term Trng Systems in place (12/31) -Title XII proposals received (12/31) -90 days CP period (12/20) -Training Unit estab. (11/31) 	<ul style="list-style-type: none"> -Trg Spec. on site (1/30) -Trng Plan revised/app. by TAC (3/31) -Title XII short list/site visits (2/28) -Title XII contract signed (3/31) -CP period (1/20) of 120 days 	<ul style="list-style-type: none"> -Title XII staff on post (6/30) (COP 5/31) 	<ul style="list-style-type: none"> -Workplan Revision (9/30) -Procurement Plan (8/31) -1st Quarterly Report (9/30) -2nd Quarterly Report (12/31)
HAR (Res)	<ul style="list-style-type: none"> -Resstatn Adnin officers in place -Trng Adv (USAID) -DAR Annual Rep. to IDA (9/30) -Fin Cont. & Libr. on long term studies (9/85-6/87) -Dep. CARU (9/30) -Nat'l Res. Coords -ARC Secretariat 	<ul style="list-style-type: none"> -Econ. in place -ARC estab. 1st meeting (10/25) -Annual plans -Advisor Contracts signed: ARC, P&B/Fin, Procurement, Library -DAR proc. officer & other key staff in post-Spec. account established -Civil works docs to IDA (10/31) 	<ul style="list-style-type: none"> -ARC approved plans/budgets to Treasury & IDA (11/30) -Commodity team leaders confirmed (11/85) 	<ul style="list-style-type: none"> -Civil works bid opening (1/31) -ARTs -- HQ, LADO, KADO, BLADO (3/31) 	<ul style="list-style-type: none"> -Civil works bid Eval. (4/15) -Nat'l Research/Ext W.S (?) -ADD Res/Ext WS (?) -Lib. appointed (6/30) -Library utilization system (9/30) -1st University Contract (9/30) 	<ul style="list-style-type: none"> -Civil works contract award (7/15) -Staff eval. process revised (9/30) & Scient. Stream introduced -Annual Report (9/30)
AE&PS (Ext/Plan)	<ul style="list-style-type: none"> -(USAID) Trng Adv (9/30) -Position responsibilities for Trng Adv expanded (9/30) -TOR's for rural credit study (9/30) 			<ul style="list-style-type: none"> -Steer Committee (3/1) -Special Acct. (3/1) -System analyst adv. (3/31) -DOA Reorg. (3/1) -Ext. Mngt & Plann. Adv. (3/1) -DCAO appt. (3/1) -Trng unit (2/1) -Rural Credit study to IDA (3/31) 	<ul style="list-style-type: none"> -Pl&Mn Adv (4/30) -Fin audit cont. (7/1) -Annual workshops (5 & 6/86) -(USAID) Ag. Comm. Specialist (7/1) 	<ul style="list-style-type: none"> -Pl Dept. reorg. (9/30) -Staff recruitment program to IDA (9/30) -Annual work plan and Budget (9/30) -Mass comm. pilot (10/31) -Annual ext. work plan (DOA & Huzuz) (9/30) -Implem. of rural credit study recs. (12/31)
JT Donor Act.	<ul style="list-style-type: none"> -DPIC Assist: DC/ Nairobi/Halawi -Halawann visits (9/24) 	<ul style="list-style-type: none"> -DPIC Wash Deb -AID/IDA JT meetings/superv. process (10/15) 		<ul style="list-style-type: none"> -JT Supervision -Steering Committee meeting 		<ul style="list-style-type: none"> -JT supervision (9/30) -Steering Committee (9/30)

SECTION 10

SAMPLE LETTER OF MOF RE: RESPONSIBLE PARTIES

- 1. Letter**
- 2. Specimen Signatures**

Ministry of Finance, Lilongwe
Telephone: Lilongwe 731 311
Comments should be addressed to:
The Secretary to the Treasury



MINISTRY OF FINANCE
P.O. BOX 30049
LILONGWE
MALAWI

1st October, 1985.

The USAID Representative,
P.O. Box 30455
LILONGWE 3.



ENERGY FOR SMALL AND MEDIUM
ENTERPRISES. PROJECT

We enclosed a copy of Authority bearing specimen
signatures of officers authorised to implement the
above named Project on behalf of the Government.

Ray

Yours faithfully

for:

M. Makalanda
SECRETARY TO THE TREASURY
(External Aid Section)



Malawi Agricultural Research and Extension
~~ENERGY FOR SMALL AND MEDIUM ENTERPRISES PROJECT~~

In the matter of a grant agreement

between

THE GOVERNMENT OF THE REPUBLIC OF MALAWI

and

THE UNITED STATES OF AMERICA

acting through the United States Agency for International
Development

AUTHORITY

WHEREAS by a grant agreement dated ^{24 September} ~~24 September~~ 1985 (hereinafter referred to as "the Agreement"), made between the GOVERNMENT OF THE REPUBLIC OF MALAWI, (hereinafter referred to as "the GOVERNMENT" of the one part, and the UNITED STATES OF AMERICA, acting through its Agency for International Development, (hereinafter referred to as "USAID"), of the other part, USAID undertook to extend to the Government a grant of an amount not exceeding ~~one hundred and fifty thousand~~ United States Dollars (~~US \$150,000~~) to finance, inter alia, the costs of the ~~Energy for Small and Medium Enterprises~~ Project subject to the terms of the Agreement;

AND WHEREAS under section 3 of the Finance and Audit Act (Cap. 37:01 of the Laws of Malawi) the Minister of Finance of the Government is responsible for the supervision, control and direction of matters relating to the financial affairs of Malawi, and in discharging such responsibility may, pursuant to section 36 (1) of the General Interpretation Act (Cap. 1:01 of the Laws of Malawi) depute public officers to act on his behalf;

AND WHEREAS it is expedient that certain public officers in the service of the Government be designated and authorized to act in the name of the Minister of Finance of the Government and on behalf of the Government in, or in connection with, the implementation of the Agreement;

NOW, THEREFORE, I, EDWARD CHITSULO ISAAC BWANALI, Minister of Finance of the Government, pursuant to section 36 (1) of the General Interpretation Act, DO HEREBY NOMINATE, APPOINT AND AUTHORIZE the undermentioned public officers in the service of the Government in my name as designated representatives of the Government and, on behalf of the Government, jointly or severally, to do and perform all such acts or things and to execute all such written instruments as may, from time to time, be necessary or proper for the purpose of, or in connection with the implementation of the Agreement -

- | | |
|---------------------|--|
| J. R. Phiri, Esq. | - Under Secretary in the Ministry of Finance; |
| T. A. V. Chande | - Senior Assistant Secretary in the Ministry of Finance; |
| H. S. Mononga, Esq. | - Administrative Officer, in the Ministry of Finance |
| J. M. Mhango, Esq. | - Administrative Officer in the Ministry of Finance |
| M. Makalande, Esq. | - Administrative Officer in the Ministry of Finance, |

AND I HEREBY ratify and confirm all such acts or things as may be

done or performed, and all such written instruments as may be executed by the said public officers, or any of them, in pursuance of this Authority

The specimen signatures of the public officers are attached hereto.

Dated this

25th

day of September, 1935.


E. C. I. Bwanali
MINISTER OF FINANCE

SPECIMEN SIGNATURES

J. R. PHIRI, ESQ.

J. R. Phiri

T. A. V. CHANDE

T. A. V. Chandé

H. S. MUMONGA, ESQ.

H. S. Mumonga

J. M. MFIANGO, ESQ.

J. M. Mfiango

M. MAKALANDE, ESQ.

M. Makalande

APPENDICES A
AGENDA FOR SEPTEMBER 10, 1985 PRE-STEERING
COMMITTEE MEETING #2

1. Steering Committee
2. Work Planning,
Monitoring and
Reporting
3. Training Advisory
Committee
4. Selection Process
Assistance
5. Donor Coordination
6. Actions Required During
Next Six Months

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MINISTRY OF AGRICULTURE PRE-IMPLEMENTATION COMMITTEE MEETING
MALAWI AGRICULTURE RESEARCH AND EXTENSION PROJECT

9th October, 1985

Subject: Pre-implementation planning and start-up activities

TENTATIVE AGENDA

- (1) Steering Committee -- functions, formation, membership
- (2) Coordination of Work Planning, Reporting and Monitoring
- (3) Training Committee -- functions, formation, membership
- (4) Selection Process for Title XII Institution & Technical Assistance Team
- (5) Donor Coordination -- Strategy and Responsibility
- (6) Actions Required During Next Six Months

The attached papers present background discussion and recommendations decision points for issues related to points 1-5 in the agenda.

Issue 1: Steering Committee

(a) Functions. The Steering Committee has the following responsibilities:

- * set benchmarks for determining program progress and monitoring program progress in accordance with benchmarks;
- * review and recommend approval of major pre-implementation and implementation processes and procedures, and thereafter monitor performance;
- * review, discuss and make recommendations concerning any policy level issues or concerns which substantially impact on the combined goals and major objectives shared by the three projects;
- * monitor and ensure coordination of program implementation within MOA and between MOA, donors and other organizations;
- * review, discuss and recommend actions required to resolve issues submitted for review by Supervision Missions, Evaluation Missions, the GDM or others, by mutual consent; and
- * schedule regular and emergency meetings of the Steering Committee and coordinate development of agendas and working papers.

Illustrative tasks of the Steering Committee include: overseeing major contracting activities; reviewing commodity procurement plans; approving recommendations from the Training Advisory Committee on annual training plans and sources of financing; reviewing project personnel levels; tracking planned program investment levels and recurrent costs financing; monitoring performance of contracted institutions or individuals; and reviewing recommendations and requests for short-term technical assistance and proposed scopes of work.

Decision: Is the above list of responsibilities complete and adequate?
Are any modifications or amendments necessary?

(b) Formation of the Steering Committee. The Steering Committee assumes similar responsibilities, though focussed upon the Three Projects, that the "Management Committee" assumes for guidance, monitoring and decision-making for the overall MOA program. To avoid proliferation of committees, the Management Committee, with modified membership, is proposed. Quarterly meetings will be conducted in which the Projects are the specific agenda, and other special meetings will be held as necessary.

Decision: Is this arrangement practical and effective? Should any changes or modifications be made at this time?

(c) Membership of the Steering Committee. The members of the "Management Committee" form the core membership for the Steering Committee, which includes, in addition, representatives of MOF, OPC, USAID and IDA. When the agenda of the Management Committee is the Projects, the additional committee members will join the Management Committee to form the full Steering Committee and will participate in their official status as representatives of other organizations and Ministries or as ex-officio members to provide information and perspective to the committee. Other officials may be invited as deemed appropriate.

Core MOA membership: PS, DS, CAS (NRDP), CAS (I), US, CARD, CAO, CVO, CPRO, CA
Other GOM members: MOF and OPC representatives
Ex-officio members: FC, ACPO, Mzuzu Program Manager, EAB Officer, CTrO, Women's Program Officer, Other ADD PMs as project expands
Donor Representatives: 1 USAID, 2 IDA

Decision: Is this the appropriate membership and structure for the Committee?
Should any changes or modifications be made?

Issue 2: Coordination of Work Planning, Monitoring and Reporting.

A central issue is how workplanning and progress reporting will be coordinated and integrated for the projects. There is general agreement that:

- * the implementation of the projects should be integrated and well coordinated with the overall MOA program;
- * the projects should be implemented, to the extent possible, within MOA policies, procedures and structures;
- * work planning and implementation must be carried out by departments and sections which must have clear authority and responsibility for their components; and
- * program reviews, overall guidance and coordination issues can be addressed by the Steering Committee.

(a) Coordination. It has been emphasized that coordination requires more than consolidation of workplans and reports to achieve an integrated effort. Support will be given to strengthen and revamp planning, reporting and monitoring mechanisms within the MOA. But, there are existing processes designed to implement the integration policy of the MOA which can be used, as seen in reviews of ADD and departmental programs. Coordination functions will, at a minimum, involve managing the planning and reporting processes so that MOA and donor requirements are met, establishing and preparing agendas and working papers for the Steering Committee and working with donors on overall schedules for supervision and evaluations.

Based upon agreement that the projects must be coordinated, there is one issue: Where does responsibility for coordination rest? Two options are suggested from our discussions: (1) it is best located with CAS (NRDP), modeling the processes of ADD and departmental program reviews, or (2) it is best located with the Planning Division which will be strengthened for playing long-term planning and integration roles for MOA.

Decision: Where is the best place to locate responsibility for coordination of the Projects?

(b) Additional Management Staff. It has been suggested that the coordination role may create additional demands of the staff of either CAS (NRDP) or Planning Division which cannot be easily handled by existing capacities. One option may be to hire a "project coordinator/manager" for the life of the projects. This person would have responsibility to perform, for the CAS (NRDP) or the Planning Division, the essential coordination and integration tasks.

Decision: Is there existing capacity to perform coordination and secretariat functions or should temporary staff be hired for the project?

Issue 3: Training Advisory Committee.

(a) Functions. The Training Advisory Committee has the following functions:

- * recommend and interpret MOA policy as regards to training;
- * monitor and ensure adherence to training priorities identified in MOA's Training Needs Assessment;
- * approve overall approaches to and balances of training programs as recommended by the Training Unit;
- * guide the Training Unit and approve training workplans and candidates proposed for overseas training;
- * review training evaluation reports; and
- * ensure collaboration between MOA training programs and other educational and training institutions in Malawi.

Decision: Does this adequately reflect the responsibilities of the Training Advisory Committee? Are amendments or modifications necessary?

(b) Formation of the Training Advisory Committee. The committee will operate as a Special Sub-committee of the Steering/Management Committee, passing recommendations as necessary for higher level review. This committee has a broader mandate than and replaces the existing training committee. It will meet quarterly, and more frequently as necessary, under the chairmanship of the CAS (I). The Chief Training Officer (CTrO) will serve Secretariat functions, such as coordination and preparation of agendas and meeting schedules.

MOA Membership: CAS (I), CAS (NRDP), CARO, CAO, CVO, OPrO, US, CTrO
Other Members: Bunda College Principal, NRC Principal
Ex-officio Members: ACPO, OPC (PMT)

Decision: Is this the appropriate membership and structure for the Committee? Should any changes or modifications be made?

Issue 4: Title XII Technical Assistance -- Contracting Process

AID will negotiate, in collaboration with the GOM, a four-year direct AID contract with a Title XII institution for technical assistance in agriculture research and agriculture extension. The contract will involve 7 long-term resident positions and approximately 64 months of short-term technical assistance. Attention must be given to selecting an effective Title XII institution and to getting agreement with that institution on the most effective processes for (i) selecting the most appropriate members of the technical assistance team and (ii) managing and backstopping the technical assistance team.

A systematic process for selecting the university and the technical assistance team using comprehensive programmatic and performance criteria as well as technical criteria is proposed. (See Attachment on Proposed Contracting Steps) The proposal builds upon standard practices, but is more intensive. It involves planned collaboration from the beginning and systematic assessment through structured working sessions. The proposal requires the use of professional facilitators to design and assist with specific activities at key points, such as an assessment workshop.

Decision: Should the more intensive process for systematic recruitment, assessment, selection and preparation be undertaken for the Title XII contract?

Issue 5: Donor Coordination.

More effective donor coordination has been the intent of the GOM, the World Bank and USAID since the early design stages on these projects. The concepts, resources and schedules for donor coordination are written into the designs. Throughout implementation, the effort must be systematically maintained, even intensified, if donor coordination is to be practical and effective. Intent must be translated into operational practices consistently supporting MOA's policies, procedures and capacities. Joint activities of monitoring, financial management, reporting and evaluation are being discussed.

Decision: Who, in MOA, is responsible as the operational contact and liaison for donor coordination and for monitoring performance in this area?

What mechanisms need to be in place to ensure continuous and effective coordination? When will reviews of current systems be undertaken with USAID and IDA?

Will implementation planning and project start-up activities be coordinated, using same approaches and personnel?

Agenda Item 6: Action Plan (6 months)

(A) Conditions Precedent: First Disbursement (must complete by 28/11/85)

(i) A statement of names of "responsible parties" for the Government of Malawi.

status:

Action: Letter from MOF to USAID.

Draft given to MOF

Next step: _____ Who: _____ When: _____

(ii) Evidence that A Project Steering Committee is established to guide and coordinate the Projects.

status:

Action: Formal Circular in MOA identifying functions, membership, formation Notify USAID and IDA.

Decisions on 9/10 drafted in memo

Next step: _____ Who: _____ When: _____

(B) Conditions Precedent: Disbursement for Training (complete by 28/01/86)

(1) Indication 1: Establishment of Training Advisory Committee.

status:

Action: Formal Circular in MOA identifying functions, membership, formation Notify USAID and IDA.

Decisions on 9/10 drafted in memo

Next step: _____ Who: _____ When: _____

(ii) Indication 2: Formal Establishment of Three Positions for Training Unit

status:

Action: Approvals by OPC

Notification to USAID and IDA

Orientation/Preparation Plan for New Staff Developed

Next step: _____ Who: _____ When: _____

Next step: _____ Who: _____ When: _____

Next step: _____ Who: _____ When: _____

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(iii) Indication 3: Positions Announced
and Candidate Recruitment Initiated

status:

Action: Inform USAID and IDA of Selection Process

Position Announcements

Selection Process Initiated
with USAID and IDA Concurrence

Next step: _____ Who: _____ When: _____

Next step: _____ Who: _____ When: _____

Next step: _____ Who: _____ When: _____

(iv) Indication 4: Training Unit Positions
Staffed and Activities for Orientation
and Implementation Planning Begun

status

Action: CTrO Selected/Posted
USAID and IDA Notified

Training Officers Selected/Posted
USAID and IDA Notified

Orientation and Implementation
Planning Initiated

Next step: _____ Who: _____ When: _____

Next step: _____ Who: _____ When: _____

(C) Title XII University Contract

(i) Decision on Selection Process

Proposal drafted

Next step: _____ Who: _____ When: _____

(ii) Plan for Implementing Selection Process

Next step: _____ Who: _____ When: _____

(D) Project Work Planning and Budgeting.

(i) Work Planning and Budgeting Processes for
Project Implementation Developed/Approved

status:

Next step: _____ Who: _____ When: _____

Key dates: _____

(ii) Schedule for Implementation
Planning and Budgeting Established

status:

Next step: _____ Who: _____ When: _____

Key dates: _____

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APPENDICES B
WORKING PAPER FOR PRE-STEERING
SEPTEMBER 27, 1985

1. Strategy Statements
2. Project Committees



United States
Department of
Agriculture

Office of
International
Cooperation
and Development

Washington, D.C.
20250

DEVELOPMENT PROGRAMS MANAGEMENT CENTER

27/9/85

PRE-IMPLEMENTATION PLANNING CONSULTANCY
FOR THE THREE USAID AND IDA AGRICULTURAL PROJECTS

PACKAGE OF MATERIALS FOR REVIEW PRIOR TO THE WEDNESDAY, OCTOBER 9, 1985
MEETING, AND FOR DISCUSSION AT THE MEETING

1. STRATEGY STATEMENTS FOR THE PROJECTS
2. PROJECT COMMITTEES

B.1



The Office of International Cooperation and Development
is an agency of the
United States Department of Agriculture

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PROPOSED STRATEGY STATEMENTS FOR THE THREE PROJECTS

INTRODUCTION

In the last few months, as part of on-going development of its agricultural program, the Government of Malawi (GOM) has negotiated three new agricultural projects, involving total financing (GOM plus donors) of over U.S. \$80 million:

- The Malawi Agricultural Research and Extension (MARE) Project, supported by a US \$14.8 million grant from USAID;
- The Malawi National Agricultural Research Project, supported by a US \$23.8 million loan from the IDA; and
- The Malawi Agricultural Extension and Planning Support Project, supported by a US \$11.6 million IDA loan.

The overall goal of these projects is to increase the productivity of the smallholder agricultural sector by improving the relevance, quality and timeliness of the information available to smallholders. The approach used is to strengthen the research, extension, training and planning functions of the Ministry of Agriculture (MOA), focusing on assuring appropriate linkages between research and extension throughout the agricultural services delivery system. Funding for the Projects supports institutional reorganization and development, long term postgraduate training, extensive in-service and pre-service in-country training, civil works construction, expanded utilization of mass media for extension, and technical assistance.

The three project designs are interrelated; although each one funds discrete activities, each one's success is dependent upon the other two. In view of this, it was jointly decided by the donors and the GOM that implementation of the three Projects should proceed in a coordinated integrated fashion. As an early step in this process, USAID is providing technical assistance to the MOA for pre-implementation planning, with a team from the Development Programs Management Center (DPMC) of the United States Department of Agriculture (USDA). Based on interviews with responsible individuals in the MOA and donor organizations, the following set of Strategy Statements has been drafted for discussion.

The purpose of these Strategy Statements is to highlight essential principles and elements to guide subsequent decisions and actions for successful implementation of the Three Projects. These statements, as now stated, summarize key points from interviews with key officials in the MOA and the Projects' documentation. The strategy statements, once finalized by those responsible for the Projects, will reflect shared understandings among all those involved, and thus provide the basis for further articulation and implementation of the Projects.

STRATEGY STATEMENTS FOR OVERALL GUIDANCE OF THE PROJECTS

1. Increased smallholder agricultural productivity requires increases in yields of traditional primary crops and diversification into higher value cash crops.
2. Increased agricultural productivity is highly dependent upon more effective delivery of relevant information, services and agricultural inputs through the MOA and related institutions.
3. MOA's institutional performance to support smallholder agricultural will be increased through improved capacities for planning, training and adaptive research closely linked to extension.

STRATEGY STATEMENTS FOR PROGRAM AND PROJECT MANAGEMENT

1. The Projects need to be viewed as part of Malawi's overall agricultural development program.
2. Success of the Projects is likely only to the degree that they function within a Ministry-wide context.
3. The approach to implementation taken by the Projects must be consistent with the overall strategies used by the MOA for agricultural development.
4. For the success of the Projects, direction, decision-making and monitoring must emanate from a single, well-informed and organizationally powerful source.
5. The approach to implementation of these Projects should provide a replicable model for further use by the GOM.

STRATEGY STATEMENTS FOR DONOR COORDINATION IN THE PROJECTS

1. The donor coordination which has been a critical part of the design and the design process for the Projects must be systematically maintained and intensified.
2. Donor coordination must be an interactive process engaging the MOA, the World Bank, USAID and other relevant organizations at multiple levels to ensure effective collaboration and cooperation.
3. Effective donor coordination requires that all organizations take the long-term program perspective of the MOA.
4. Donor coordination must be translated into unified operational systems consistent with MOA policies, practices and capacities so that, over the long-term, MOA is structurally and functionally strengthened.

STRATEGY STATEMENTS FOR TRAINING IN THE PROJECTS

1. The ultimate purpose of training is institutional strengthening to improve MOA's performance at all levels.
2. Training must be performance-oriented, competency-based and linked to MOA planning and programming to ensure that the MOA, the groups and the individuals involved all get relatively immediate and effective results.
3. The overall training orientation will be to coordinate the total range of approaches and activities associated with training and to strengthen the integration of technical, departmental and functional areas.
4. The Training Advisory Committee and Training Unit will become the focal points for enhancing, rationalizing and managing an institutionalized training program.

SOME STRUCTURAL ISSUES RELATED TO PROJECT COMMITTEES

The various project documents reflect agreements on the need for two coordinative bodies - a Projects Steering Committee and a Training Advisory Committee. The overall need for these Committees is to enhance project management in a program context, providing a model replicable with other projects, and with other program contexts. Proposed Terms of Reference for the Committees follow.

The Projects Steering Committee chaired by the Secretary for Agriculture is an overall guidance body for the three projects, assuring both their integration into the larger MOA program, and their achievement of the Projects' goals. As such, the Committee will regularly review implementation progress, review and approve annual workplans and budgets, formulate policy recommendations for the overall program which emerge from project implementation, identify lessons learned with a program wide applicability, and recommend approaches to strengthening implementation areas facing difficulties.

The Training Advisory Committee is to provide overall guidance to the Training Unit in its development of the ministry-wide training program. The Training Advisory Committee will recommend training policy, assure training's full integration throughout the Ministry, establish training priorities, review and approve the Training Unit's annual workplans and budget before forwarding them to the Steering Committee for ratification, assist in resolving training issues, and review and disseminate lessons learned by the Unit. Working groups, representing various members of the MOA and their immediate training needs and experiences, will provide background information for the Committee.

There are a series of issues related to the establishment of these two bodies which ought to be resolved now to facilitate pre-implementation work. These issues are as follows:

1. Steering Committee Structure
2. Steering Committee Secretariat
3. Steering Committee Membership
4. Training Advisory Committee Structure
5. Training Advisory Committee Membership

Each of these issues, and recommendations which have emerged from initial interviews, is further discussed below.

Issue 1: Steering Committee Structure Recommendation: The existing MOA Management Committee will function as the Steering Committee, by holding special meetings focused on these three Projects. For these meetings, its membership will be modified to meet the functional requirements of the Steering Committee.

As we understand it, the existing MOA Management Committee has a mandate and structure which significantly overlap with those of the intended Projects Steering Committee. It is chaired by the PS, the US is the Secretariat, and membership includes the DS, CARO, CAO, CVO, CAS (NRDP), CAS (I), CPrO, CA, FC, ACPO. Its functions include reviewing overall program progress and management, assuring coordination, developing relevant policy recommendations, and approving workplans and budgets.

These functions, and the structure, overlap significantly with those proposed for the Projects Steering Committee. The attention of the Management Committee is on all activities within the agricultural program, while specific attention to and in-depth understanding of these three projects is required to carry-out the Steering Committee functions.

Having the Management Committee assume these functions provides an opportunity to assure program-wide integration of the activities under these Projects, to provide the program-wide experience of the Management Committee to the new Projects, and to enhance the program perspective of an existing group. It also avoids adding an additional functional body to an already functioning ministry. Under this recommendation, the Management Committee will hold periodic meetings in which these three Projects are the specific focus. They would be held at least quarterly, with additional meetings called as required. Committee members, who if not for these three Projects would not be on the Committee, would be Management Committee members only during the meetings addressing these Projects.

Issue 2: Steering Committee Secretariat Recommendation: When the Management Committee is functioning as the Steering Committee, the CPrO will be the Secretariat.

The secretariat for the Steering Committee should be a unit that regularly functions from a position providing direct and regular interaction with all units involved in the activities of the Projects. It should also be a unit whose regular organizational perspective encompasses all these units, and is at least somewhat removed from their day-to-day operations. Finally, it should be a unit with ready access to the information and supportive materials which will be required by the Steering Committee. We believe these criteria are best met by the Planning Division and the CPrO.

Issue 3: Steering Committee Membership Recommendation as follows:

The most important consideration here is the balance between a Committee at an appropriately high level that directly represents each unit affected by the Projects, and a Committee of sufficiently restricted size to permit regular and full attendance, while providing an effectively-sized working group. To address this problem, we recommend a relatively small core Committee, with additional members having ex-officio status. Ex-officio members would be available to provide feedback and back-up data to the Committee but would not play a central role in intra-Committee discussions and decisions. In addition, the Committee will invite others for specific meetings according to the agenda being discussed. Membership may be adjusted as implementation of the Projects warrants.

Core membership: PS, Chair
CPrO, Secretariat
DS
CAS (I)
CAS (NRDP)
US
CARO
CAO
CVO
MOF Representative
OPC Representative

Ex-officio membership: CA (Chief Accountant)
FC (Financial Coordinator)
ACPO (Personnel Officer)
Donor Representatives (1 USAID, 2 IDA)

Issue 4: Training Advisory Committee Structure Recommendation: The Training Advisory Committee should be constituted as a Special Sub-Committee of the Steering Committee

Again, for the sake of maximizing the integration of these projects into the overall agricultural program, as well as to assure the closest possible relationship of the programming and training functions, the Training Advisory Committee will be constituted as a Special Sub-Committee of the Steering Committee. For specific meetings, additional individuals could be invited as appropriate to the agenda. Membership can be adjusted as implementation proceeds and changes are warranted.

Issue 5: Training Advisory Committee Membership Recommendation as follows

Core membership: CAS (I) Chair
Head of Training Unit, Secretariat
CAS (NRDP)
CARO
CAO
CVO
CPrO
US
Bunda College Principal
Natural Resources College Principal

Ex-officio Membership: ACPO (Personnel Officer)
OPC (PMT) Representative

APPENDICES C

AGENDA AND SUMMARY NOTES OF SEPTEMBER 18, 1985

PRE-STEERING COMMITTEE MEETING #1

1. Meeting Purpose
2. Agenda
3. Participants
4. Areas Requiring
Immediate Attention
5. Issues Discussed

16th September, 1985

FROM: THE SECRETARY FOR AGRICULTURE, P.O. BOX 30134, LILONGWE 3.

TO: THE UNDER-SECRETARY, MINISTRY OF AGRICULTURE HEADQUARTERS, LILONGWE 3.

: THE CONTROLLER OF AGRICULTURAL SERVICES (INSTITUTIONS),
MINISTRY OF AGRICULTURE HEADQUARTERS, LILONGWE 3.

: THE CHIEF AGRICULTURAL RESEARCH OFFICER, LILONGWE 3.

: THE CHIEF AGRICULTURAL OFFICER, LILONGWE 3.

: THE CHIEF VETERINARY OFFICER, P.O. BOX 30372, LILONGWE 3.

: THE PRINCIPAL ECONOMIST (PLANNING), MINISTRY OF AGRICULTURE
HEADQUARTERS, LILONGWE 3.

MALAWI AGRICULTURAL RESEARCH AND EXTENSION PROJECT (MARE) :
PRE-IMPLEMENTATION CONSULTATION

You are kindly invited to attend a meeting scheduled for Wednesday, the 18th of September, 1985 at 2.00 p.m. in the conference room.

The overall purpose of the meeting will be to begin pre-implementation activities for the USAID-sponsored Malawi Agricultural Research and Extension (MARE) Project, and related activities under The World Bank-sponsored National Agricultural Research Project and Agricultural Extension and Planning Support Project.

To assist in these efforts, a team has been provided to us from the Development Programs Management Center (DPMC) of the United States Department of Agriculture. A proposed plan of work from this team is attached for your review prior to the meeting. At the meeting we will come to agreement as to the focus, priorities and approach for the pre-implementation activities we will carry out with the team.

The meeting will be chaired by the Principal Secretary and facilitated by Mr David Levine of the DPMC team. The agenda is as follows:

- Introductory comments by the Principal Secretary
- Introductions and Roles in implementing the projects
- Review of Conditions Precedent and Conditions of Effectiveness for Implementing the Projects
- Selecting Priority Areas for Pre-Implementation Planning
- Next steps for our work with the team
- Summary and closing remarks by the Principal Secretary.

The director of USAID has also been invited to attend this meeting in order to facilitate discussions.


S. S. Banda
for SECRETARY FOR AGRICULTURE

MARE PROJECT PRE-IMPLEMENTATION PLANNING
START-UP MEETING 18/9/85 2:30 - 4:30 p.m.

MINISTRY OF AGRICULTURE

Attached Materials

1. Meeting Purpose and Intended Outcomes.
2. Agenda.
3. Participants.
4. Pre-Implementation Areas requiring Immediate Attention.
5. Issues Discussed.

1. MEETING PURPOSE AND INTENDED OUTCOMES

A. OVERALL PURPOSE

TO BEGIN A PROCESS OF PRE-IMPLEMENTATION PLANNING WHICH IS:

- * USEFUL
- * RESPONSIVE
- * MUTUAL
- * FOCUSED
- * ON-GOING

B. INTENDED MEETING OUTCOMES

- * ESTABLISHMENT OF A MUTUALLY COMFORTABLE, TASK FOCUSED APPROACH TO THE WORK AT HAND.
- * CLARIFICATION OF THE BASIC COMPONENTS OF THE MARE PROJECT AND OUR ORGANIZATIONAL ROLES.
- * CLARIFICATION OF CONDITIONS PRECEDENT (CP'S) FOR MARE, AND CONDITIONS OF EFFECTIVENESS (CE'S) FOR THE RELATED TWO WORLD BANK PROJECTS.
- * AGREEMENT OF PRIORITY PRE-IMPLEMENTATION PLANNING AREAS.

2. AGENDA

- * INTRODUCTORY COMMENTS BY THE PRINCIPAL SECRETARY.
- * COMMENTS BY THE AID REPRESENTATIVE.
- * INTRODUCTIONS AND ROLES IN IMPLEMENTING THE MARE PROJECTS.
- * REVIEW OF MAJOR MARE PROJECT COMPONENTS.
- * REVIEW OF MARE PROJECT CP'S AND RELATED WORLD BANK PROJECT CE'S.
- * IDENTIFICATION OF PRIORITY PRE-IMPLEMENTATION PLANNING AREAS.
- * ESTABLISHMENT OF NEXT STEPS IN PLANNING PROCESS.
- * REVIEW/SUMMARY AND CLOSING COMMENTS.

3. PARTICIPANTS

<u>NAME</u>	<u>POSITION AND ORGANIZATION</u>
1. H. N. Mbale	Secretary of Agriculture
2. D. C. W. Kambauwa	Ministry of Agriculture (US)
3. S. S. Kamvazina	Ministry of Agriculture (CAS I)
4. R. F. Kanvinya	Ministry of Agriculture (Planning Division)
5. Mr. Banda	Ministry of Agriculture (Planning Division)
6. Enock M. Ntokotha	D.A.R. (HQ)
7. Carlos Palin	D.A.R. (HQ)
8. Mrs. B. R. Ndisale	D.A.R. (HQ) Research Economist
9. F. M. Kangaunde	D.O.A. (HQ)
10. L. P. Nkhosjera	Veterinary Department
11. John F. Hicks	A.I.D. Representative, Malawi
12. Richard Day	Program Officer, USAID/Malawi
13. Merlyn Kettering	US Dept. of Agriculture, Development Program Management Center.
14. David B. Levine	Develop. Program Management Center.
15. Bob Johnson	Pre-Implementation Team DPMC

4. PRE-IMPLEMENTATION AREAS REQUIRING ATTENTION

1. Official/Fiscal Actions

USAID CP, by 20/12/85: Identification of "Responsible Parties"
(USAID and MOF)

IDA CEs: Establishment of "Special Accounts"

2. Establishment of Steering Committee Over all Three Projects

CP and CE: USAID requires by 20/12/85

Questions of membership, mandate, procedures, initiation

Current thinking as to membership:

PS - Chair

CAS (NRDP) - Secretariat

CAS (I) CAO DCAO/Training (?)

US CVO CA (?)

.CARO CPrO FC (?)

MOF Representative

Balance needs be between representation and size.

Perhaps some would be ex-officio members.

3. Establishment of Training Unit in MOA, under CAS(I), and Establishment of Training Advisory Committee.

CP and CE: USAID requires by 20/1/86

Local Staffing - Unit head to be a P5

Advisors - Training Advisor

Training Specialist (main focus on Training of Trainers)

The advisors funded by USAID, and to be hired under personal services contracts.

Mandates of both TU and TAC need definition

4. Completion of Local Staffing Requirements

DAR - HQ and Resear.Stations and Commodity Teams

DOA - HQ

PD - HQ

Training Unit

5. International Recruitment and Procurement

DAR - IDA funded, plus "Title XII" USAID funded for 5as well as some procurement under the Title XII contract

DOA - IDA funded, plus USAID funded Mass Media Specialist

PD- IDA funded

Training Unit : - USAID funded, personal services contracts

Civil Works- IDA funded

Issues include how recruit, how select, how manage, how integrate

6. Development of First Year Workplans and Budgets

7. Others to be Added as Result of Team's Work

For each area focused on by the Team, the intent would be to produce a general workplan which would provide guidance for operations and management over the next 6-9 months, and specifying what needs to be done, by when, by whom, and with what considerations or criteria to be kept in mind.

5. ISSUES DISCUSSED

1. Title XII Contract

Do all 5 individuals need be from same university?

How will they be integrated into the MOA and managed?

How assure GOM selection of the most effective individuals rather than just the university?

How develop the overall contracting and selection mechanisms to assure maximum GOM involvement?

2. Donor Collaboration

How deal with differing fiscal, monitoring and reporting requirements?

How assure minimal disruption to on-going MOA work through multiple supervision requirements?

How put substance onto the statements of donor coordination in the project documents?

3. Reconciliation of some differences in numbers among the three project documents.

It was decided that all these items would be pursued in a follow-up meeting the next morning with Mr. Kavinya, Mr. Day and the Team. A series of individual and smaller group meetings would be conducted by the team over the next week or so, with a further large summary meeting to occur prior to Dr. Kettering's departure.

APPENDICES D
NOTES OF MEETING WITH PLANNING DIVISION
SEPTEMBER 12-13 SEPTEMBER, 1985

1. Overall Meeting Purpose
2. Intended Outcomes
3. Agenda
4. CPs and CEs
5. Priority Attention Areas
6. World Bank Projects

MARE PROJECT PRE-IMPLEMENTATION ASSISTANCE

INITIAL MEETINGS WITH MOA PLANNING DIVISION

12/9/85 1:30-4:00 p.m.

13/9/85 11:00a.m.-12:15 p.m.

- Package Contents:
- I. Overall Meeting Purpose
 - II. Intended Meeting Outcomes
 - III. Meeting Agenda
 - IV CPs and CEs
 - V. Priority Attention Areas

MARE PROJECT PRE-IMPLEMENTATION
ASSISTANCE

INITIAL MEETINGS WITH MOA
PLANNING DIVISION
12/9/85 1:30 p.m. - 4:00 p.m.
13/9/85 11:00 a.m. - 12:15 p.m..

I. OVERALL MEETING PURPOSE

TO COMMENCE A USEFUL IMPLEMENTATION PLANNING
CONSULTANCY

- FOCUSED
- RESPONSIVE
- MUTUAL
- ON-GOING

II. INTENDED MEETING OUTCOMES

- * ESTABLISHMENT OF A MUTUALLY COMFORTABLE, TASK-FOCUSED APPROACH TO THE WORK AT HAND.
- * AGREEMENT AS TO THE MAJOR IMPLEMENTATION REQUIREMENTS IN THE NEAR FUTURE.
- * IDENTIFICATION/CLARIFICATION OF THE PLANNING DIVISION'S MARE-RELATED PRIORITIES & CONCERNS.
- * SPECIFIC PLANS FOR "ENTRY ACTIVITIES" WITH REST OF MOA.
- * SPECIFIC PLANS FOR NEXT STEPS ON PLANNING DIVISION PRIORITIES.

III. AGENDA FOR

A. 12/9/85 MEETING

- * Review/Modify Proposed Purpose, Outcomes & Agenda.
- * Getting Acquainted -- Who we are; Our roles in MARE; Our "histories" with MARE; Why we want it to be successful; What we mean by "success".
- * Review/Modify Preliminary Plan of Work.
- * Review MARE Project Grant Agreement (ProAg) and identify major areas for concentration and major tasks.

B. AGENDA FOR MEETING CONTINUATION

- * Review Agenda.
- * Questions Re: Mare Project Description (from ProAg Annex).
- * Review Conditions Precedent (MARE Project) and Conditions of Effectiveness (World Bank Projects).
- * Identify Priority Implementation Areas.
- * Identify Departments/Individuals in MOA to be Involved.
- * Identify who in Planning Division to have major Coordination Role over next two weeks (Mr. Banda identified).
- * Review where we are and wish Mr. Njolwa a good trip!

17-0

IV. CP'S & CE'S

PRECEDENT

A. MARE CONDITIONS/(CP'S)

1. IDENTIFICATION OF "RESPONSIBLE PARTIES".
2. STEERING COMMITTEE

To be formed within 90 days of signing (15/12/85)

PS -- Chair	- How many?
CAS(I)	- How often?
CAS (NRDP) -- Secretariat	- Major functions?
CVO	- Ex-officio memb.?
MOF	
CARO	
CAO	Plus maybe CTO, CA, FC.
CPO	
US	

3. TRAINING UNIT ESTABLISHED AND STAFFED (within 120 days; by o/a 15/1/86)

Training Advisory Committee (TAC) in place right away, and USAID so advised.

MOA identifies the persons to staff Training Unit.

- US (currently heads the TC)
- PS approves

Goes to Personnel Management and Training in OPC

- They approve position and either accept the candidate or go for "floating" the position.

V. PRIORITY AREAS FOR PRE-IMPLEMENTATION ATTENTION

1. Steering Committee

-One function being to review implementation plans for the other areas and serve as the monitoring organization

2. Training Unit and TAC

-PS issues a circular creating the TU and replacing the existing training committee

3. MOA Local Staffing

4. International Recruitment

5. Procurement

6. Overall Plans for Local Currency Expenditures in Year I (the first annual workplans)

B. WORLD BANK PROJECTS
CONDITIONS OF EFFECTIVENESS (CE'S)

1. ESTABLISHMENT OF SPECIAL ACCOUNTS
 NAR (National Agricultural Research)
 AE & PS (Agricultural Extension and Planning Support)

2. MOA STAFFING IN PLACE (LOCAL)
 - Training Unit USAID

 - Res. Station admin. Officers NAR
 - Deputy CARO
 - ARC Secretariat
 - DAR Reorganization
 - Nat'l Research Coordinations
 - DAR Procurement Officer
 - Deputy CAO AE & PS

3. INTERNATIONAL RECRUITMENT (ADVISORS)
 - Training Advisor USAID
 - Training Specialist

 - ARC Advisor
 - Procurement (Selected) NAR
 - ~~- Training Specialist~~
 - P & B/Finance (Selected)
 - Librarian (Selected)

 - Extension Management and Planning AE & PS
 - Planning and Management
 - Systems Analyst

4. PROCUREMENT -- CIVIL WORKS (NAR) AND "TITLE XII" CONTRACT (USAID)

APPENDICES E
NOTES OF MEETING WITH PLANNING DIVISION
SEPTEMBER 19, 1985

1. Donor Coord
2. Title V Contract
3. Numbers Reconciliations

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**MARE Project Pre-Implementation Consultancy
Minutes of 19/9/85 Follow-Up Meeting**

Participants: Mr. Kavinya, Planning Division
Mr. Banda, Planning
Mr. Wilhelm Cornelius, Planning
Ms. Brave Ndisale, DAR
Mr. Carlos Palin, DAR
Mr. Richard Day, USAID
Mr. David Levine, DPMC
Dr. Merlyn Kettering, DPMC

The meeting was held to pursue at greater depth a set of issues which had arisen in the general MOA start-up meeting the day before. The meeting was chaired by Mr. Kavinya, and facilitated by Mr. Levine. Its overall purpose was to review each issue, and for each to arrive at a common understanding of the issue itself, and where appropriate to concur on further actions to be taken.

The agenda was established as follows

1. Donor Coordination Financial and Supervisory
2. Mechanisms for Assuring Adequate GOM Control of the Selection and Integration of Both the Title XII Contractor, and the Individual Technical Assistants
3. Implications of the Shortage of Available Housing in Lilongwe
4. Reconciling Some Differences in Numbers in the Various Project Documents

I. Donor Coordination

A. Financial. The involved issues had to do with the various accounts and currencies which must be accounted for in the Projects. There are donor funds from both the World Bank and USAID, some of which are spent offshore as foreign exchange and some of which are used for local currency expenditures. There are also GOM funds, some of which are from the on-going Revenue Account, and some of which represent New Recurrent Costs. Various requirements for separate accounting were discussed, and areas of increased possible efficiency identified. The following recommendations were agreed to:

1. The inclusion of the Financial Coordinator, MOA on the Steering Committee would be considered and discussed with the various individuals with whom the team would be meeting.
2. The team would meet with the FC, Mr. Kyumba and solicit his views on these issues.
3. USAID will try to set up a 120 day advance fund for the Project, which based on the submission of adequate financial accounting of expenditures to date would be replenished at 60 day intervals.
4. Liaison with the MOF should be established at the earliest feasible time. The liaison should discuss both the general

financial issues as well as the MOF's participation on the Steering Committee for the Projects. It was decided that Mr. Banda and Mr. Levine would draft an appropriate letter for the PS to the MOF formally to establish such liaison.

5. Mr. Day offered to arrange a meeting between the FC and other appropriate individuals and a representative from RFMC (the Regional Financial Management Center for AID) in Nairobi at a mutually convenient time.

B. Supervisory. The general discussion focused on how to take next steps towards putting into practice the statements as to donor coordination and joint supervision that are made in the various project documents, while still meeting the individual donor requirements as laid out in those documents. The following specific recommendations were made:

1. Advantage would be taken of Ms. Carmen Haaman's visit on the 24th of September for further exploration of these issues. A meeting of Ms. Haaman, Mr. Day, the Planning Division and the DPMC team would be arranged during her visit.
2. A more formal set of meetings would occur in mid-October during the first scheduled joint supervision, which is intended to include Mr. Spurling and Ms. Haaman of IDA, as well as Mr. Day of USAID. Included on the agenda for the meetings would be the establishment of some overall guidelines and approach mechanisms for the joint supervision activities.
3. To the degree possible, joint supervision and other monitoring activities would attempt to utilize the current monitoring approaches of the MOA Planning Division and the DAR evaluation unit.
4. Larger evaluation activities, such as the mid-point evaluation or the triennial evaluation would be planned well in advance and structured to include not only those directly involved in the three projects, but also others involved in complementary aspects of the overall MOA agricultural development program. In considering timing for major activities, it should be kept in mind that July-September are difficult months for the DAR.

II. Title XII Contract

The major issues discussed had to do with the GOM's desire to assure their involvement in the selection of the individuals, as well as the contractor for this part of the Technical Assistance. It was felt strongly that some lessons had been learned from the earlier USAID Agricultural Research Project as to the importance of full integration of the Technical Assistants to the MOA, and reaching clarity as to the fact that they are to take management and work direction from the Ministry. USAID expressed full support and concurrence in maximizing GOM involvement, and clarified the point that the Title XII proposals are not limited to including only current members of the university's faculty, but rather the universities are encouraged to assemble, from whatever

sources, the most competent team possible. He also reminded the meeting that consortia of universities as well as individual institutions can bid. The following recommendations were agreed to:

1. That DPMC would include attention to specifying with the MOA an overall process for the Title XII contracting, from development of the Scope of Work (Terms of Reference) to proposal review to assessment and selection of the institution(s) and individuals to preparation of the individuals selected.
2. That DPMC would include in its activities drafting with the GOM and USAID a Scope of Work for the contract.

3. That if possible, the Request for Technical Proposals (RFTP) ~~also~~ institutions to include candidates from outside their regular staff if so doing would strengthen the proposed teams.

would include specific arrangements of

III. Lilongwe Housing

Given the current housing shortage in Lilongwe, the Ministry indicated that it might prove difficult to provide housing for the Technical Assistants, as stipulated in the MARE ProAg. Outside of Lilongwe, there would be no difficulty given both the new housing being constructed under the IDA Projects and the fact that significant numbers of individuals would be going abroad for participant training. It was agreed that Mr. Day would check the details of the agreement, and the funds and cost factors used in assembling the MARE Project budget to determine what if any flexibility is possible. The issue will then be further discussed.

IV. Numbers Reconciliations

The discrepancies were deemed to be minor, and what was important was to understand what numbers ought to be commonly used in the various planning processes. Mr. Day will check the specific numbers identified, after which we'll decide what if anything needs to be done to align them. The specific discrepancies pointed out include the following (page references are to the MARE Project ProAg):

1. P.5 -- 4 P-Ys for Specialist vs. 5 P-Ys
2. P.6 -- 30 P-Ms for Ag Comm Spec vs. 36 P-Ms
3. Also, we need to clarify whether the full time person is called the Ag Comm Spec or the Mass Media Specialist?
4. Are there 33 or 35 P-Ms of short term ag ext assistance?
5. P.12 -- All other ADDs to use the results of the Mzuzu

Pilot by 30/4/88 seems early given the need to evaluate the results of the pilot before proceeding. It was decided that moving ahead would be subject to evaluation and decided and reflected in the annual workplans.

The meeting was adjourned by Mr. Kavinya at noon.

APPENDICES F

NOTES OF MEETING WITH PLANNING DIVISION -- DONOR COORDINATOR

OCTOBER 10, 1985

1. Participants
2. Purpose
3. Critical Assumptions
4. Agenda Items
5. Summary of Key Points

(D R A F T)

NOTES OF MEETING

MOA Planning Division and Representatives of USAID and World Bank
1st October, 1985

Subject: Implementation Start-up and Donor Coordination on Three Projects for
Agricultural Planning, Research and Extension

Participants: Mr. M. Njolwa
Mr. C.M. Moyo
Mr. P. Chirwa
Miss Mvundula
Mrs. Ndisale
Mr. Moes
Mr. R. Day (USAID)
Ms. C. Haaman (IDA)
Dr. Kattering (USDA)

Purpose: To explore areas in which planning, monitoring and evaluation can be coordinated on the Projects and to identify action steps for coordination to be initiated.

Critical Assumptions:

- * The Three Projects are interrelated and implementation will be integrated.
- * A major goal is to strengthen program management within MOA.
- * MOA, USAID and World Bank systems can be are sufficiently flexible to permit a high degree of coordination.
- * Coordination in planning, monitoring and evaluation must be systematically planned, carried out and assessed throughout project implementation.
- * The Planning Division will play a key role in program management and integration as Secretariat to the Steering Committee (Management Committee).

Agenda items for discussion:

- To what extent can planning, monitoring and evaluation be coordinated?
- Are there other areas for coordination and cooperation?
- Who is responsible to establish patterns and procedures for coordination?
- What are the first steps in establishing coordination?
- What actions need immediate attention?

PROPOSED MEETING AGENDA
1st October, 1985

Participants: Planning Division, Ministry of Agriculture;
Representatives of World Bank and USAID
Pre-implementation Planning Team

Purpose: To explore areas in which planning, monitoring and evaluation can be coordinated on the Projects and to identify action steps for coordination to be initiated.

Critical Assumptions:

- * The Three Projects are interrelated and implementation will be integrated.
- * A major goal is to strengthen program management within MOA.
- * MOA, USAID and World Bank systems can be and are sufficiently flexible to permit a high degree of coordination.
- * Coordination in planning, monitoring and evaluation must be systematically planned, carried out and assessed throughout project implementation.
- * The Planning Division will play a key role in program management and integration as Secretariat to the Steering Committee (Management Committee).

Items for discussion:

To what extent can planning, monitoring and evaluation be coordinated?

Are there other areas for coordination and cooperation?

Who is responsible to establish patterns and procedures for coordination?

What are the first steps in establishing coordination?

What actions need immediate attention?

SUMMARY OF KEY POINTS, AGREEMENTS AND ISSUES DISCUSSED

Although difficulties would not be anticipated in the implementation of single projects, the combination and integration of the Three Projects may pose some difficulties. For example, issues may arise with such matters as, ensuring the appropriate balances between project components, where to draw the lines for funding and decision-making, and how to avoid duplication of efforts on the part of MOA staff in relation to donor agencies. It was agreed that with proper planning and preparation, anticipated problems can be avoided.

There is agreement that donor coordination, as initiated during planning and written into the designs is highly desirable and will need attention during implementation start-up to ensure that effective and efficient processes are initiated. The following points were made regarding coordination.

1. Planning, monitoring and evaluation can be coordinated to a very high degree on these projects to meet the needs of the MOA, World Bank and USAID.

An important aspect of coordination is that the Government of Malawi is a full partner with the donors; coordination is not just a relationship between donors. Although no problems are anticipated with this matter as regards the World Bank or USAID, it is important. Development actions cannot be undertaken individualistically or autonomously; local participation is most critical for all activities. For example, reports should be seen as products of the Malawi Government, not solely of donors and should have involvement and clearances that are appropriate in the Government.

Often donors have their own agenda and principles in carrying out projects that they want Malawi to adopt. When donors come together on projects, it is important to follow the same approaches and objectives. A problem is not expected in this area, but coordination will not happen automatically. Care must be taken during implementation to ensure that all key actors (in MOA, USAID, IDA and TA teams) understand and share common approaches and strategies.

2. The specific areas identified with high potential for coordination include:

- * work plans and work planning
- * budgeting and financial planning
- * monitoring, including financial and key indicators
- * reporting, both activity (program) and financial
- * personnel performance evaluations, especially technical assistance personnel and teams
- * training and training plans
- * supervision visits and reviews
- * evaluations

For each of these areas, it will be important to establish maximum levels of uniformity and/or standardization so that the management processes in the MOA are enhanced and integrated, not burdened nor duplicative unnecessarily. However, there may be difficulties in achieving exact uniformity because of some differences in regulations and practices between donors. For example, it was noted that USAID has a practice of requiring bi-monthly financial reports while the Bank has less frequent reporting requirements. It will be necessary

to examine the requirements and flexibility of all systems to find the best solutions--in this case, USAID may be able to adapt, or it may be that MOA systems are able to produce reports on frequent basis, even monthly, without undue burdens, especially if formats are compatible for all reports.

For each of the coordination areas, it will be important to identify the potential for uniformity and/or standardization with respect to:

- * Criteria and Approaches
- * Processes, Mechanisms and Procedures
- * Schedules and Timing
- * Documentation and Formats

3. A major responsibility for establishing processes, patterns and procedures for coordination rests, operationally, with the Planning Division.

In its role as Secretariate the the Steering Committee, as designated in the projects designs, the Planning Division will manage coordination through its planning, monitoring and evaluation functions. However, ultimate authority and responsibility for coordination rests with the Steering Committee, under the Chairmanship of the Principal Secretary. During implementation planning, clarity should be reached on the precise responsibilities of the Planning Division in this respect and on establishing the mechanisms for carrying out coordination.

4. The first step in establishing coordination is to obtain a clear mandate from the Principle Secretary to take steps to ensure uniformity of systems, processes and procedures for coordination. The Planning Division and other relevant parts of the Ministry can then study the potential for coordination in the identified areas and develop recommendations for coordination which will be brought to a meeting of the Steering Committee (or the Management Committee). The Planning Division has interest in coordination and have already begun to explore this matter with respect to evaluation and reporting. They should be seen as a resource for studying the possibilities and problems and for advising the Steering Committee on alternatives, decisions and recommended actions.

5. There will be no immediate actions before the next pre-implementation meeting. The issues of coordination should be explored with other key MOA officials individually, and put on the agenda for the meeting as appropriate.

6. Additional points of discussion included:

- a. There is a need to improve reporting. At present, reporting tends to be descriptive with respect to individual activities, and often is focussed narrowly on technical assistance.
- b. Attention should be given to enhancing the effectiveness of the Steering Committee in its role as the central coordinating body for the Projects, and ultimately for the MOA Program. This is related to the role of the Planning Division as Secretariate of the Steering Committee and its functions of monitoring and evaluation.

APPENDICES G
TEAM SCOPE OF WORK

1. Introduction
2. Purpose and Outcomes
3. Proposed Approach and Overall Schedule

United States Department
of Agriculture (USDA)

Office of International
Cooperation and Development (OICD)

Development Programs Management Center (DPMC)

MARE PROJECT PRE-IMPLEMENTATION
CONSULTATION

Proposed Plan of Work

- I Introduction
- II Overall Purpose and Intended Outcomes
of the Pre-Implementation work
- III Proposed Approach and Overall Schedule

September 9, 1985

DPMC Field Team and Dates in Malawi

David B. Levine: 9/6-9/27/85
Merlyn Kettering: 9/18-10/2/85
Robert Johnson: 9/15-10/13/85

MARE PROJECT PRE-IMPLEMENTATION CONSULTATION
PROPOSED PLAN OF WORK

I. Introduction

This proposed plan of work for the MARE Project Pre-Implementation Consultancy reflects the initial analysis carried out by the DPMC team prior to its arrival in Malawi. It is intended as an initial proposal, which when reviewed and modified by the Ministry of Agriculture and by USAID will provide a common understanding of the focus and approach of the consultancy at its outset. In this way, the assistance provided by DPMC can be of the greatest potential value to the Project.

Preliminary preparation activities were essentially of two types:

- (1) review of basic program documentation, including the MARE Project Paper, the Malawi National Agricultural Research Project Staff Appraisal Report (World Bank), The Malawi Agricultural Extension and Planning Support Project Staff Appraisal Report (World Bank), and various back-up and supporting documents; and
- (2) interviews with knowledgeable AID and World Bank staff who have been involved with one or more of these projects in both Washington, DC and Nairobi, Kenya.

II. Overall Purpose and Intended Outcomes of the Pre-Implementation Work

A. Overall Purpose

To assist the Ministry of Agriculture and USAID/Lilongwe in implementation of the MARE Project by identifying, planning for, and initiating key activities and processes essential for effective and timely implementation management. Focus will be on those issues and areas most likely to have an impact on the program over the next 6-12 months. We will include relevant aspects of the two World Bank projects and other related USAID-supported activities as required as a result of the close interrelationships of the various efforts.

B. Intended Outcomes

1. Identification and clarification of the key areas of the MARE Project and the related World Bank and USAID-supported efforts which need attention in the immediate future, especially those related to Conditions Precedent (MARE Project) or Conditions of Effectiveness (World Bank projects).
2. Selection of those areas of highest priority to which effective assistance can be provided by the DPMC team. Our preliminary planning has suggested the following as possible areas of attention:
 - a. The establishment of the MOA Steering Committee, clarification of its purposes, responsibilities, membership, meeting frequency and procedures, and secretariat.
 - b. The establishment, scheduling and activation of necessary procedures for the remaining international recruitment and procurement for the program.
 - c. Procedures and scheduling for any remaining MOA position establishment and recruitment.
 - d. The establishment of the Training Unit and Training Advisory Committee, including systems for handling the long term training components and for developing initial Training Unit workplans.
 - e. Specification of both managerial and operational responsibilities within the MOA for each key program area.
 - f. Specification of the on-going implementation support role of USAID and how it will relate to MOA responsibilities.
3. Development of initial workplans to address the highest priority areas selected. Those workplans would pay particular attention to implications for workloads within the MOA, and to interrelationships and coordination requirements among different sections of the Ministry, between the MOA and the donors, and among donors. They would also anticipate important upcoming events as Steering Committee meetings, Agricultural Research Council meetings, donor supervision missions, and planned workshops and seminars.

4. Provision of an approach to implementation management, and specific planning tools that will enable appropriate individuals within the MOA to continue developing and managing crucial pre-implementation activities following the departure of the DPMC team.

III. Proposed Approach and Overall Schedule

We propose to carry-out the work through an approach consistent with DPMC's overall program management methodology. This means that we will attempt to take a "third party" role, keeping our focus on the effectiveness of the MARE Project, and exploring requirements, issues and approaches with the GOM, USAID/Lilongwe and others from that perspective. We will remain aware of the limited time of our consultancy, and try to initiate processes in support of MARE project implementation which are appropriate to the day-to-day operational context in Malawi, and can realistically be continued and monitored within the on-going work of those with responsibility for the project in both the GOM and the USAID/Lilongwe. We will try to assure the full understanding and support of what we initiate by those with responsibilities for guiding and supervising the efforts, as well as for implementing them. To the degree possible, we would like to bring various combinations of the key actors together at appropriate points, while we understand that individual schedules and availabilities may preclude at least some of this. We will approach the work to the degree possible through methods which can continue to be used in addressing additional Project areas and involving issues. In short, we hope our consultancy will model a readily useable approach to managing project implementation which will better focus, coordinate, and accelerate project progress.

In general terms, we would see our activities proceeding as follows:

- Review and revise the preliminary plan of work (9/9-9/13, Levine)
- Carry-out initial in-depth interviews (9/11-9/17, Levine)
- Develop and review with GOM and USAID/Lilongwe specific plans for each member of the DPMC team (9/16-9-20)
- Carry-out those plans with interim reviews and refocusing as appropriate (Levine through 9/25, Kettering through 9/30, Johnson through 10/10)
- Wrap-up, debriefing with all key players, and review plans for continuity (Levine ca 9/26, Kettering ca 10/1, Johnson ca 10/11)

APPENDICES H
BRIEFING ON TRAINING UNIT (KETTERING)

1. Training Unit
2. Constraints/Inhibitors
3. Strategies

15th October, 1985

(D R A F T)

TRAINING PROGRAM AND TRAINING UNIT

BRIEFING FOR CAS(I) AND USAID

15th October, 1985

(D R A F T)

M. Kettering

Subject: Training Unit, Ministry of Agriculture

Attached are my notes on our briefing. I will take the time after my return to Washington, D. C. to write these into a more complete and comprehensible form and forward it to you.

1. Functions of the training unit.

In the technical analysis and in the body of the Project Paper, e.g., p. 13, the functions of the training unit are listed as:

- 1 Manpower Development Plan
- 2 regular training needs analysis related to annual staff performance review
- 3 draft selection criteria for training candidates
- 4 identify trainers and assist them with training techniques and materials
- 5 contact appropriate sources of training
- 6 process candidates for off-shore training
- 7 maintain records on trainees; and
- 8 serve as Secretariat for TAC

These fall into three primary areas:

Needs Analysis and Staff Development Planning (1,2,8)

Training enhancement in departments (TOT, methods, materials) (4)

Short-course and Overseas training administration (3,5,6,7)

It is unfortunate that the balance appears to be very heavily toward a purely administrative function for overseas training and/or short courses from external sources.

Additional considerations should be introduced into the functions of the unit. Although the argument may be made that these can be performed within the above functions, there is no clear mandate for a more comprehensive and in-depth set of functions. Illustrative functions which are not explicit include:

Institutional Strengthening and Performance (as basis for needs analysis) not just individual competencies, but unit and organizational competence

Total learning opportunities to be reviewed, e.g., consideration of TA as important training resources; training and orientation of TA; improving effectiveness of meeting management; cross-fertilization and linkages between departments and levels, etc.

Courses must not be separated from preparation and follow-up for officers and with their units/teams as well, the whole process of planning for and orientation for learning, and of making use of learning as individuals and units needs to be enforced.

Technology transfer implies dialogue and mutual learning, and learning to use indigeneous technical knowledge in linking research & extension so there needs to be more attention to content, vocabulary, concepts that are within disciplinary (departmental) groups and between these.

Additional functional areas also need to be explicit such as working with technical assistance persons and teams to meet training objectives; Evaluations of training events, planning and performance; the Consolidation of training plans into coherent Ministry program and balancing the various components to meet Ministry needs; and coordinating liaison with donors with respect to training.

It is interesting to note that a better description of the functions of the Training Unit is included on p. 11 of the PP:

The Training Unit will utilize a variety of long- and short-term training to: (1) upgrade the technical skills of researchers and extensionists, (2) transfer adult education training methods to trainers; (3) improve DOA skills in planning, administration, management and implementation, (4) strengthen the linkages required for effective technology transfer between DOA and DAR at all levels, and (5) continue to ensure that the mix of staff skills is appropriate for the MOA's smallholder development program, institutional structure and development priorities.

I strongly recommend that the final description be used and modified in accordance with the above functions. It provides a more valuable, viable and dynamic resource for helping the MOA fulfill its mission.

2. Institutional and Individual Constraints/Inhibitors

The following is a list of some constraints which will effect the development of the training unit. These are illustrative, but critical; A fuller discussion of these can be provided as planning and implementation proceeds.

- * narrow view of training function, not as cornerstone of long-range program, nor as addressing immediate performance gaps
- * technically oriented and bureaucratic oriented personnel, rather than methodologically oriented and performance oriented team
- * concern about intervening in "turf" of existing training activities and fear of criticisms of present practices
- * high expectations, but widely diverse--with small staff and resources
- * no institutional backstopping and support to provide linkages with broader set of resources and methodologies

- * fragmented, introductory, non-consistent training introduced through present contracting/management mechanisms
- * overload of administration and administrative systems likely
- * divisive beginning between "commitments" of World Bank and USAID
- * training not a highly recognized profession, low incentives/rewards
- * scope of opportunity very broad, but priorities and focus not clear.

Here I introduced the concept of the multiple "domains", functions and focii which could be encountered in developing the program of the Training Unit-- this was done in the form of a matrix, then expanded to a cube, and this can also be further developed if useful.

3. The Strategies undertaken to build the unit and address the constraints. used the following list, which is sometimes like apples and oranges and at different levels of abstraction/concreteness, as a basis for comments on strategies.

- * meet urgent needs and find areas for pilot successes
- * functionally divide unit into admin, training enhancement and overall planning and programming
- * unit must become a team, but effectively using broader set of resources to fulfill its potential
- * build cadre throughout ministry
- * tap TA resources for training
- * emphasize total learning cycle/process
- * developed agreed-upon focii early with key clients
- * automation of administrative functions
- * careful selection/development of TU staff
- * look for significant incremental improvements as basis for other changes (80-20)
- * introduce RRA methods for needs analysis (iterative, interactive)
- * build on "slice of the organization"

Finally, the operational strategies must pay particular attention to:

- * a more comprehensive and appropriate set of personnel qualifications than the technical and bureaucratic ones in the paper, e.g., dynamic, mobilizer, initiator, communicator, and so on. Remember that the personalities/characteristics of the "founders" are often the most important variables in organizational success. Note also that this will require a great deal of energy and innovation as it is essentially a creative effort of building something new and different.
- * timing and phasing will be most important for a successful program along with an appropriate sense of purpose which is shared among all key actors in the Ministry and its clients
- * training consolidation will require more resources than envisioned. Clearly, even the equipment lists are incomplete (e.g., video for training of trainers, funds for professional conferences, resources for cadre building and enhancement of training as a profession, and so on.) A very early look should be given to operational planning and areas of flexibility in resources and budgets to meet needs of the training unit.

APPENDICES I

ISSUES RELATING TO LONG-TERM PARTICIPANT TRAINING OVERSEAS

Working paper developed by team, but not distributed
to USAID or MOA during consultancy

1. Program Issues
2. Processing Issues

ISSUES RELATING TO LONG-TERM PARTICIPANT TRAINING OVERSEAS

The projects provide for almost 50 MOA professionals to receive long-term overseas participant training. During the course of the consultancy various discussions were held with MOA and USAID personnel to explore some of the issues which might be anticipated to impact on this effort.

The following potential programmatic issues were identified:

- °The need to identify, prior to participant's departures, the likely roles to be played by them upon return to the Ministry, and to assure that the course of study projected supports their likely effectiveness in those roles.
- °The need for participants to have clear understandings of their likely role(s) upon return, and to develop strategies and initial plans for assuring relevance and focus of the programs of study.
- °The need for the technical assistance persons, who will carry out the functions of the participants in their absence, to carefully structure, document, and appropriately transfer their research to the participants upon their return. In addition the need to assure that the efforts carried out are appropriate and a priority of the MOA.
- °The need for periodic reviews with participants during their programs of study to assist them in monitoring progress, addressing issues retarding their progress, keeping them current on the in-Malawi situation and assisting them in retaining focus on and relevance to their return situations in Malawi.
- °The need for transitional planning, reviews and evaluation after participants have completed their courses of study, and prior to assuming their roles in Malawi.
- °The need for participants to share their new knowledge and operational perspective with other MOA professionals upon their returns. through, structured plans and programs.
- °The need for returned participants to network with each other to (i) support application of their learning, (ii) assist and counsel upcoming participants and (iii) interact with other MOA professionals to expand applications and adaptations in their respective technical areas.

There were also a range of issues relating to efficient processing and monitoring of participants. Without attention to these, significant delays in the start-ups and completions of the training are quite likely. They include:

- °The need for USAID to specify, and the MOA to rapidly provide the required participant documentation, without which the training cannot occur. This includes references, transcripts, and special forms.

°The need for continuing contact between the MOA and USAID during the participants' programs of study, so that USAID and MOA are aware of and can agree upon any modifications to the focus or the length of study.

°The need for extended pre-course lead time for participants with less strong academic records or other complications. With this extended time, placements will more likely be obtained in a timely manner.

The Training Unit will be involved in addressing, all the above issues, either from coordinating, participating, monitoring and/or record keeping perspectives.

APPENDICES J
WORKING PAPERS ON TRAINING UNIT

These papers were written by Robert Johnson based on a review of the planning documents for the project. Information from the Project Paper is presented here in summary form. As a result of this consultancy, it will be necessary to review the assumptions and descriptions included here, and to revise these to reflect how the broader vision of training for performance improvement will be realized.

1. Training Unit in MOA
2. Role of Training
3. Postgraduate Training
4. Academic Training
5. Budget of the Training Unit
6. Job Descriptions

WORKING PAPERS ON THE TRAINING UNIT

Following are working papers prepared during the pre-implementation stage of establishing the ministry-wide Training Unit in the Ministry of Agriculture.

- * Functions of the Training Unit in MOA, and Activities to Accomplish Them
- * An Overview of the Role of Training
- * Postgraduate Training Overseas by Year
- * Academic Training by Subject and Year
- * Budget of the Training Unit
- * Job Descriptions, Draft Review Documents

**FUNCTIONS OF THE TRAINING UNIT
IN THE MINISTRY OF AGRICULTURE, MALAWI**

The Training Unit will provide a single focal point for the development of a staff training program in the Ministry of Agriculture, and serve as secretariat to the Training Advisory Committee. Functional linkages between research and extension are to be strengthened through training, and processes related to training, whenever possible. The capabilities of Ministry personnel are to be strengthened to enhance the performance of the Ministry in meeting the needs of smallholder families, with special emphasis on reaching farmers who are unable to adopt high input practices.

The Training Unit will:

1. Prepare a Staff Development Plan for the Ministry.
2. Perform systematic training needs analyses.
3. Develop staff training programs and assist in conducting them.
4. Develop selection criteria for postgraduate candidates, process them for overseas training and maintain training records.
5. Establish an on-going corps of Trainers of Trainers, TOTs.

The scope of the Training Unit will include:

1. Postgraduate overseas degree training.
2. Postgraduate in-country degree training where available.
3. Postgraduate overseas short-term training.
4. In-service training in:
 - Technical agriculture
 - Methods and process skills
 - Administration and management

Functions of the Training Unit and Activities to Accomplish Them

All activities of the Training Unit are subject to approval and counsel of the Training Advisory Committee.

1. Prepare a Staff Development Plan for the Ministry of Agriculture.

Plan will include:

- Overseas postgraduate training
- In-country graduate training
- Overseas short-term training
- In-country short-term training
- In-service training

Plan will identify:

- Training activities to be carried out
- Individuals and/or audiences to be trained
- Trainers, Dates and Locations of training

2. Perform systematic training needs analyses.

Develop a process for systematically determining training needs:

- Assign responsibilities for doing the analysis
- Prepare a timetable for carrying out the analysis

3. Develop staff training programs and assist in conducting them.

Prepare a detailed schedule of staff training programs to be offered, that will:

- Include annual and long-term training proposals
- Identify topics, audiences, instructors, times and locations

4. Develop selection criteria for postgraduate candidates, process them for overseas training and maintain training records.

Develop a procedure which:

- considers the position for which a person is to be trained, and type of person needed for the position
- provides opportunity for eligible candidates to apply for training opportunities
- makes a selection based on the person judged to be the most qualified candidate
- provides adequate lead time to make necessary arrangements and provide proper orientation

5. Establish an on-going corps of Trainers of Trainers, TOTs.

Develop a systematic process for:

- Identifying areas of training for which trainers are needed on a continuous basis
- Identifying Ministry staff and other qualified trainers who are to be part of the TOTs team
- Systematically training the TOTs team in technical agriculture, methods and process skills, and administration and management, as needed
- Involving TOTs members in MOA training programs

AN OVERVIEW OF THE ROLE OF TRAINING IN THE MINISTRY OF AGRICULTURE

Training is a means of developing individuals and units within the Ministry, strengthening the linkages between research, extension and other sections in MOA, and making the best use of limited resources to provide more effective educational programs to smallholders and other Ministry clients.

The Training Unit's responsibilities will include preparing and implementing an on-going staff development plan for MOA, coordinating and assisting with in-service training, and overseeing long-term and short-term postgraduate training programs.

1. Training Promotes Program Coordination and Strengthening of Linkages Throughout MOA.
 - a. Quality of educational programs delivered is directly related to the quality of training provided in those programs.
 - b. Training should be considered at the planning, implementation and evaluation stages of program development to obtain maximum benefit. All dimensions of training should be used.
 - c. Meetings and events held to prepare for or support, training are as important for strengthening linkages as direct training about linkages.
2. Training is an Effective Means of Prioritizing Programs.
 - a. Training is a natural aspect of program development, implementation and evaluation.
 - b. Program changes can be supported through training by directing the training toward the desired program emphasis. Training should not always be reactive.
 - c. Establishing priorities for programs and related training is a means of making highly effective use of limited resources.
 - d. Changes in program emphasis through training needs careful, conscious planning and must be combined with equally strong efforts to modify and/or eliminate programs or program components.

3. The Training Program in MOA is to Encompass the Full Range of Learning Experiences.

- a. Training is to be at all levels of the ministry, relevant to the work of each staff member, and at his or her level of training and experience.
- b. Training encompasses technical, methods, process and management dimensions.

4. The Ultimate Purpose of the Training Unit is Building and Strengthening MOA as an Institution.

- a. The Training Unit and Training Advisory Committee should work toward developing a self-sustaining training process, regardless of future sources of funding.
- b. Training can be instrumental in strengthening and developing organizational units as well as individuals.
- c. The process of identifying staff for higher degrees should include an organizational needs analysis to determine types of training most needed by the Ministry, and individuals most likely to make the greatest contributions in those areas.
- d. Properly used, training opportunities provide an incentive for employees to strive for excellence.

T6, RJ
Oct. 8, '85

TRAINING UNIT, MINISTRY OF AGRICULTURE
ACADEMIC TRAINING BY SUBJECT AND YEAR

<u>Subject</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>Total</u>
Agronomy	6	6	6	3	21
Ag. Economics		5	2		7
Ag. Engineering				1	1
Ag. Extension		3			3
Biometrics (Statistics)			1		1
Communications		1			1
Entomology	2		1		3
Forestry		2			2
Home Ec. Nutrition		1			1
Horticulture		1	1	1	3
Plant Pathology	2			1	3
Total	<u>10</u>	<u>19</u>	<u>11</u>	<u>6</u>	<u>46</u>

Source: Malawi Agricultural Research and Extension Project
Paper, USAID/Malawi (612-1215)

TRAIN. YR
RJ Oct. 8'85

**TRAINING UNIT, MINISTRY OF AGRICULTURE
POSTGRADUATE DEGREE TRAINING OVERSEAS**

The exact number of Ministry of Agriculture personnel who will receive postgraduate training will depend upon how far the funds reach. Following is a postgraduate, overseas training schedule based on estimated costs per candidate.

<u>Training Area</u>	<u>Degree</u>	<u>Start</u>	<u>Complete</u>	<u>Months</u>	<u>Dollars</u>
<u>1985</u> N=10					N=10
Soil Survey	PhD	9/85	9/88	36	\$66,000
Entomology (nut tree)	PhD	9/85	9/88	36	66,000
Maize Pathology	MSc	9/85	9/87	24	44,000
Maize Breeding	MSc	9/85	9/87	24	44,000
Entomology (Maize and Groundnut)	MSc	9/85	9/87	24	44,000
Nematology	MSc	9/85	9/87	24	44,000
Agronomy (AR)	MSc	9/85	9/87	24	44,000
Agronomy (AR)	MSc	9/85	9/87	24	44,000
Agronomy (AR)	MSc	9/85	9/87	24	44,000
Agronomy (AR)	MSc	9/85	9/87	24	44,000
<u>1986</u> N=19					N=19
Agronomy (AR)	MSc	9/86	9/88	24	44,000
Agronomy (AR)	MSc	9/86	9/88	24	44,000
Ag. Economics	MSc	9/86	9/88	24	44,000
Ag. Economics	MSc	9/86	9/88	24	44,000
Ag. Economics	MSc	9/86	9/88	24	44,000
Agronomy (AR-Coord. Unit)	MSc	9/86	9/88	24	44,000
Ag. Economics (AR-Coord. Unit)	MSc	9/86	9/88	24	44,000
Ag. Economics	MSc	9/86	9/88	24	44,000
Agroforestry Agronomy	MSc	9/86	9/88	24	44,000
Silviculture	MSc	9/86	9/88	24	44,000
Horticulture (WPS)	MSc	9/86	9/88	24	44,000
Communications/ Ag. Extension	MSc	9/86	6/88	33	55,000
Agronomy	MSc	9/86	9/88	24	44,000
Agronomy	MSc	9/86	9/88	24	44,000
Ag. Ed. & Training	MSc	9/86	1/88	16	44,000
Agronomy	MSc	9/86	1/88	16	44,000
Nutrition	MSc	9/86	9/88	24	44,000
Ag. Ext. Ed. / Personnel Planning	MSc	1/86	1/88	24	44,000
Ag. Ext. Ed. / Admin/Mgt.	MSc	9/86	9/88	24	44,000

Postgraduate Training Overseas cont. 2 of 2

<u>Training Area</u>	<u>Degree</u>	<u>Start</u>	<u>Complete</u>	<u>Months</u>	<u>Dollars</u>
<u>1987</u> N=11					N=11
Agronomy, Maize	PhD	9/87	9/90	36	\$66,000
Vegetable Production	PhD	9/87	9/90	36	66,000
Agronomy	MSc	9/87	9/89	36	44,000
Agronomy	MSc	9/87	9/89	24	44,000
Ag. Economics	MSc	9/87	9/89	24	44,000
Biometrics	MSc	9/87	9/89	24	44,000
Entomology	MSc	9/87	9/89	24	44,000
Agroforestry/Soils	MSc	9/87	9/89	24	44,000
Soils Chemistry	MSc	9/87	9/89	24	44,000
Farm Management	MSc	9/87	9/89	24	44,000
Land Resource Surveys	MSc	9/87	9/89	24	44,000
<u>1988</u> N=6					N=6
Vegetable Production	MSc	9/88	9/90	24	44,000
Irrigation Agronomy	MSc	9/88	9/90	24	44,000
Seed Pathologist	MSc	9/88	9/90	24	44,000
Agronomy	MSc	9/88	9/90	24	44,000
Farm Engineering	MSc	9/88	9/90	24	44,000
Agronomy	MSc	9/88	9/90	24	44,000
Total					N=46

Source: Malawi Agricultural Research and Extension Project
Paper, USAID/Malawi, (612-0215)

TRAIN. YR
RJ, Oct. 8, '85

BUDGET OF THE TRAINING UNIT
MINISTRY OF AGRICULTURE

<u>Planned Expenditures</u>	<u>USAID</u>	<u>IDA</u>	<u>GOM</u>	<u>TOTAL</u>
Postgraduate Degree Programs, Overseas	2,255,000	1,118,000		3,373,000
Postgraduate Short-term Programs, Overseas	393,000	689,000		1,082,000
In-Country Training	1,958,000	1,084,000		3,042,000
Commodities	63,000			63,000
Administrative Support	119,000			119,000
Contingencies, Inflation	1,980,000			1,980,000
GOM Personnel Salaries, Secretaries, EPA Study Office Space, Office Furniture Office Supplies, Equipment Maintenance,			1,116,000	1,116,000
Totals	\$8,449,000	\$3,305,000	\$1,116,000	\$12,870,000

Budget, Oct 8, '85
RJ

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STAFFING OF TRAINING UNIT

Position: Senior Training Officer, P5

Work Location: Ministry of Agriculture, Lilongwe, Malawi

Responsibility: Technically and administratively responsible to the Controller of Agricultural Services (CAS-I), Ministry of Agriculture, Malawi

Scope of Work and Responsibilities:

The Senior Malawian Training Officer will be administratively responsible for a Training Unit that is to be a focal point for coordinated staff development in the Ministry of Agriculture. The Training Officer will work closely with the Training Advisor, for the life of the project, to develop a Ministry-wide, comprehensive training plan.

The Training Unit's responsibilities will include preparing and implementing an on-going manpower development plan for MOA; coordinating and assisting with in-service training; and management of both long-term and short-term training programs.

The Training Advisory Committee in MOA will provide guidance and direction to the Training Unit. The Senior Training Officer will serve as secretariat to the Training Advisory Committee.

Specific responsibilities include:

- Coordinating the preparation of a Staff Development Plan for the Ministry of Agriculture.
- Coordinating the development of a process for periodic, systematic training needs analysis and for carrying it out.
- Coordinating the development of selection criteria for postgraduate candidates, development of a system for processing of candidates for overseas training, for maintaining records and for implementing the system.
- To provide administrative leadership as the Training Unit establishes an on-going corps of Trainers of Trainers, TOTs.

Qualifications

Required:

- B.S. degree in agriculture;
- At least 5 years of experience in the Ministry of Agriculture, Malawi;
- Ability to communicate effectively, orally and in writing;

Preferred:

- Administrative and/or management experience with programs that required inter-departmental cooperation
- Experience planning and/or organizing training programs;
- Experience assessing training needs of staff
- Experience in training of trainers

STAFFING OF TRAINING UNIT

Position: Training Officers, P8

Work Location: Ministry of Agriculture, Lilongwe, Malawi

Responsibility: Technically and administratively responsible to the Senior Training Officer, Training Unit, Ministry of Agriculture

Scope of Work and Responsibilities:

The Training Officers will function in a Training Unit that is to be a focal point for coordinated staff development in the Ministry of Agriculture. The Unit is to develop a Ministry-wide, comprehensive training program. A Training Advisory Committee in MOA will provide guidance and direction to the Training Unit.

The Training Unit's responsibilities will include preparing and implementing an on-going manpower development plan for MOA; coordinating and assisting with in-service training; and management of postgraduate training programs. The Training Officers, under the direction of the Senior Training Officer, will be responsible for training at all administrative levels of the MOA. They will work closely with the Training Specialist during the life of the project.

Specific responsibilities include:

- Developing and implementing a training program for trainers of trainers in MOA departments.
- Working with the Senior Training Officer, Training Advisor and Training Specialist to develop resource materials for trainers at the ADDs, RDPs, EPAs, Residential Training Centers and Farm Institutes.
- Work as part of the Training Unit Team to assist in accomplishing various aspects of the overall training plan, including training in technical agriculture, methods and process skills, and administration and management.

Qualifications

Required:

- B.S. degree in agriculture;
- At least 2 years of experience in the Ministry of Agriculture, Malawi;
- Ability to communicate effectively, orally and in writing;

Preferred:

- Administrative and/or management experience with programs that required inter-departmental cooperation;
- Experience planning and/or organizing training programs;
- Experience assessing training needs of staff;
- Experience in training and training of trainers;

APPENDICES K

THE SMALLHOLDER FERTILIZER TRAINING PROGRAM

The smallholder Fertilizer Training Program overview and description prepared by Robert Johnson in response to a USAID request for an in-depth review of this training activity. The material summarizes MOA and USAID documents and reflects conclusions from interviews with MOA and USAID officials. The assignment intended to provide an in-depth view of how MOA carries out training at the present time and how the Training Unit might relate to special and ongoing training activities.

1. Field Demonstrations
2. Move from Conventional
to Concentrated
Fertilizers
3. Questions to be Answered
4. Information/Summary

THE SMALLHOLDER FERTILIZER TRAINING PROGRAM

These working papers were developed for the purpose of analyzing the status of training in the program for removal of smallholder fertilizer subsidies in Malawi, and movement from use of conventional to concentrated fertilizers.

- * Field Demonstrations with Concentrated Fertilizers, 1985/86, Summary
- * MOA Program to Move from Conventional to Concentrated Fertilizers, Role of Training Unit
- * Information Concerning Fertilizer/ Demonstration Program, Questions to be answered
- * Information Concerning the Fertilizer/ Demonstration Program, Summary

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- Field Demonstrations with Concentrated Fertilizers, 1985/86, Summary
- MOA Program to Move from Conventional to Concentrated Fertilizers, Role of Training Unit
- Some Responsibilities of the Training Unit Concerning MOA Program to Move from Conventional to Concentrated Fertilizers
- Information Concerning Fertilizer/ Demonstration Program, Questions to be answered
- Information Concerning the Fertilizer/ Demonstration Program, Summary

FIELD DEMONSTRATIONS WITH CONCENTRATED FERTILIZERS, 1985/86

\$15 million, 3 years

Removal of smallholder fertilizer subsidies

Demonstrate use of concentrated fertilizers

Conversion to concentrated fertilizers

- urea - storage problems - used on sugar cane and tea
- DAP diammonium phosphate

Series of demonstrations

	1985-86	1986-87 est.	
Maize	31	150	2-5 per ADD, 29 TCs, 2 res. sta.
Tobacco	7	30	Kasunga-3, Lilongwe-2, Tob. Res. Auth.-1,
Rice	11	25	NRC-1
	<u>49</u>	<u>205</u>	

Goal = 10% of fertilizer purchased will be Urea and DAP in 1986-87

Per cent fertilizer used

Maize	70	70.2
Tobacco	18	17.8
Rice	<u>3</u>	<u>2.9</u>

Maize Demonstrations

10 plots, 5 sets replicated twice 10x10

conventional 20:20, CAN, DAP, Urea

fertilizers at equivalent rates

- 1/2 N & all P at planting
- 1/1 N sidedressed

.4 ha

15 kg

25 pockets hybrid, 8 pockets composite, 150 kg. local

Dap 4.75 tons

Urea 4.75

20:20 6.25

CAN 6.0 for 30 sites

Training

1. Announced at National Crops Seminar, Aug. 26
2. A TC chosen for the demonstration in each ADD
 - small team from Ministry visits each TC, Sept.
 - select sites, 2-5 per ADD
3. ACAO, Ext. & Trng. draws up a detailed program for Ext. staff to attend while demonstrations are carried out. About 7 visits
4. Training of farmers
 - 15 training days per month, 50,000 farmers per season
 - 1 million smallholder farmers, 25% use fertilizer
 - 10% goal means 25,000 farmers, 1 in 2 attending demos.
5. Extension officers will put in demo. at their DTC

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Extension and Training

1. Senior staff of ADDs trained by putting out demonstrations,
 - trained in use of concentrated fertilizers
 - staff includes:
 - Agricultural Project Officers
 - Principals, Residential Training Centers
 - Subject matter specialists at ADDs
 - Agricultural Development Officers
 - demos begin Nov. in south and Dec. in center and north
2. Jan. to May farmers trained, those attending day courses
 - shown demonstrations
 - seminar on costs of both types
 - discussion, demonstration of methodology, handling, storage
3. Dec. to May Tech. Assist. shown use of concentrated fertilizers
4. Field Days
5. Meetings in villages by technical assistants
Display on concentrated fertilizers at MCP
6. Yellow vans with films and puppet shows, April on
7. Pamphlet may be produced
8. Radio programs carry messages
9. All ADDstaff, including Section TAs instructed by September, 1986
10. System of training staff - reach entire staff in one month
 - SMS at ADDS - Ag. Proj. Officers - Dev. Off. - Fld. Ass't.
 - ADD mo.mtg. Dem. at mo. mtg. EPA mo. mtg.
 - SMS to APO, APO to DO, DO to FA, all at regular monthly meetings
11. 1986-87 growing season FAs help farmers with spot demonstrations
12. Minor crops demonstrations may be possible, vegetables, fruits, coffee, (20)
13. Demonstrations on farmers' lands

QUESTIONS ABOUT TRAINING IN THE FERTILIZER PROGRAM

1. How is money being used?
2. What training problems are there?
3. What could a Training Unit have done to help with training?
4. Is more needed in Mass Media area?
5. Could those doing the training benefit from teaching methods, A-V?
6. What training help do demonstrators need?
7. Trainers in DAR, DOA, ADDs?
8. What are most urgent problems in training?
-- the most important?
9. What would you like from the Training Unit?
10. Are better linkages needed?
11. If better linkages are needed, suggestions?
12. System of getting recommended practices out?

RJ, DEM, 25 Sept. '85

MOA PROGRAM TO MOVE FROM CONVENTIONAL TO CONCENTRATED FERTILIZERS
ROLE OF TRAINING UNIT

Steps in Implementation

Training Activities

- | | |
|--|---|
| <p>1. Announcement at National Crops Seminar, Aug. 26</p> <ul style="list-style-type: none">- Background given- Preliminary logistics discussed | <p>Accomplished by extension specialist and research staff.</p> |
| <p>2. Team from MOA goes to each ADD to:</p> <ul style="list-style-type: none">- Select sites for demonstrations- Select site at a Regional Training Center for training field staff- Discuss requirements for putting out demonstrations- Train staff about use of concentrated fertilizers and on how to put out demonstrations | <p>Scheduled for October 4 to 15, 1985</p> <p>Team consists of:</p> <ul style="list-style-type: none">Eon TwifordBen SizilandeRice specialistTobacco specialistMaize specialist |
| <p>3. Demonstrations put out in November and December.</p> | |
| <p>4. ADD staff trained at scheduled monthly meetings November, December</p> | <p>ADD team trains Ag. Dev. Officers
Development Officers train Field Assistants</p> |
| <p>5. ACAO (Mhango) will draw up a detailed program of activities for all extension staff to follow while demonstrations are being carried out.</p> | <p>Not accomplished. Training Unit work with Extension and Training Officer on this task in January.</p> |
| <p>6. Farmers brought to see demonstrations from January to May</p> <ul style="list-style-type: none">- To Observe crop growth- To participate in demonstrations of methods of handling and storing- Presentations and discussions on comparative costs | <p>Training Unit work with staff to help them develop:</p> <ul style="list-style-type: none">- Lesson plans- Field Assistant Guides- Farmers leaflets- Posters- A/V materials |
| <p>7. Field Assistants brought to Regional Training Centers for training, December to May.</p> | <p>Training Unit work with staff at RTCs. Follow-up on teaching materials to be sure they are available to all who need them.</p> |

- | | |
|--|---|
| <p>8. Field Days held at the demonstration sites, including relevant Research Stations, for:</p> <ul style="list-style-type: none">- Farmers- Local leaders- Party Officials | <p>Training Unit assist in training of field staff on good Field Day procedures.</p> |
| <p>9. Meetings in Villages held by Development Officers and Field Assistants</p> <ul style="list-style-type: none">- Farmers be made aware of concentrated fertilizers and of their advantages | <p>Training Unit continue to work with Extension and Training Officer and Extension Aids Branch to assure that teaching materials are produced and distributed.</p> |
| <p>10. District Development Meetings held. Members of Parliament, District Party Officials, Chiefs, Heads of Government Departments attend. Project Officers and ADD officials discuss use of concentrated fertilizers and their advantages.</p> | <p>Same as number 8.</p> |
| <p>11. Displays on advantages of concentrated fertilizers shown at Malawi Congress Party.</p> | <p>Exhibit was shown at the Malawi Congress.</p> |
| <p>12. Yellow Vans will carry the message of concentrated fertilizer to villages by movies, slideshows, and/or puppet shows.</p> | <p>Training Unit begin work in January with Extension Aids Branch and other relevant staff to make plans for implementation.</p> |
| <p>13. Radio programs to carry messages on use and advantages of concentrated fertilizers</p> | <p>Training Unit monitor system for providing information to radio staff.</p> |
| <p>14. 1986 Agricultural shows will have exhibits on use of concentrated fertilizers</p> | <p>Training Unit work with staff in Extension and Training and Extension Aids Branch to see that exhibits are designed and produced.</p> |

Bob J.
FERT2
29 Oct., '85

**SOME RESPONSIBILITIES OF TRAINING UNIT CONCERNING
MOA PROGRAM TO MOVE FROM CONVENTIONAL TO CONCENTRATED FERTILIZERS**

1. Meet with relevant individuals and groups throughout the adoption process to help assure involvement of extension and research staff where appropriate, for improved linkage.
2. Work with appropriate staff member(s) to prepare lesson plans for each training stage. Lesson plans to include:
 - Teaching/learning objectives for each stage
 - List of what staff need to know in each type of position
 - Outline of content of subject being taught
 - List of materials needed to accomplish the teaching goals
 - When, where and by whom training is to be done
3. Lesson plans needed for training include one-on-one or group meetings where:
 1. ADD staff train Development Officers.
 2. Development Officers train Field Assistants, and/or
 3. Field Assistants are brought to the RTCs for training.
 4. RTC staff train farmers at Residential Training Centers.
 5. Field Assistants train farmers at farmer meetings.
4. Work with staff in the Ministry in such a way as to make them look good in their assignment. Give recognition to individuals for work well done.
5. Work with Extension Aids Branch and other relevant staff to develop a series of brief, concise publications appropriate to the various audiences, including Field Assistants, RTC staff and farmers. Possible publications are brief guides for Field Assistants, farmer leaflets, flip charts for use by Field Assistants RTC instructors.

Bob J.
FERT3
Sept. 29'85

INFORMATION CONCERNING FERTILIZER/DEMONSTRATION PROGRAM

Selection of Land

1. How will land quality be assured?
2. Who will take soil samples?
3. Where will soil samples be analyzed?

Planting, Cultivating Harvesting

4. Who puts out demonstrations?
5. What problems faced?
6. Who supervises?
7. Who gets and delivers materials?

Agronomic Practices

8. Who is responsible for program-wide quality control? How?
9. When is fertilizer needed for tobacco?
(seed 3rd wk. Sept., plant late Nov.)

Records, including yields of plots

10. Are there standardized reporting forms to be used?
(rainfall, temp., solar radiation, dates of planting, physiological maturity, harvesting maturity, cob yld., useable grain yield., rotten grain etc. as appropriate for each crop)
11. Who will develop them?
12. When will they be available to field staff?
13. Is this a structured program?

Farmer Training

14. Is a training package being developed on
 - handling and storage of fertilizers
 - financial advantages and other topics to be covered
15. Who would do such a training module?
16. Target date for completion of training module?
17. Who will coordinate with Extension Aids Branch?

18. How will training of trainers be accomplished,
- by whom
- when
- with what assurances of quality control
19. How often will farmers attend courses?
20. Length of courses?
21. Does the farmer need an incentive to get him to the RTC since it is time away from his fields?

Mass Media

22. Who will develop the program? When?
23. What resources are required?
24. Source of funding?

Seed and Fertilizer

25. How will seed and fertilizer be financed?
26. Who will procure these items?
27. When?
28. How will seed and fertilizer be distributed to all demonstration sites?
29. When will seed and fertilizer be distributed?
30. Who will buy local maize and who will make determination of quality?

October 2, 1985

INFORMATION CONCERNING THE FERTILIZER/DEMONSTRATION PROGRAM

Information on the status of the proposed Fertilizer/Demonstration project, designed to assist the Government of Malawi in converting from conventional to concentrated fertilizers, was provided by Mr. Mhango, Extension and Training, and two fertilizer specialists, Mr. Benjamin Sizilande and Mr. Eon Twiford. Meetings were held on October 2, 1985.

The MOA Team

A team from MOA, consisting of two extension specialists and three researchers, will meet with a team from each ADD from October 4-15. The team consists of:

Mr. Sizilande, extension fertilizer specialist
Mr. Twiford, extension fertilizer specialist
Mr. Ngwira, researcher in maize
Mr. Chaseta, researcher in rice
Mr. Chilemba, researcher in tobacco

Selection of Sites for the Demonstrations

The National Team has suggested general locations for the demonstration/research fertilizer plots. The Program Manager at the ADD level is responsible for specific site selection in his area, something he has experience doing from other demonstrations. The MOA team and ADD staff will review and discuss the site proposals at their meeting. The need for sound procedures when selecting sites is well recognized by those interviewed.

Soil Samples

Since the plots will be used for both demonstration and research, the researchers will collect soil samples. Samples will be tested either at Chitedze or Bvumbwe, using established procedures. A history of soil tests is available from the Residential Training Centers and Research Stations where the plots will be located.

Distribution of Seed and Fertilizer

The method of distribution of seed and fertilizer will depend upon the source. If it comes from ADMARK the ADD staffs will get it from them. Other fertilizers will have to be delivered by a vehicle from headquarters.

Agronomic practices

Program-wide quality control of agronomic practices is the responsibility of the researcher on the Team and the ADD Program Manager. The latter may delegate this responsibility to a member of his staff. The fertilizer specialists feel the researcher has two tasks at the time of planting: (1) seeing that the plots are properly planted, and (2) teaching the principal at the training RTC about the plot so that he will know what to teach farmers.

Record Keeping

Rainfall and Temperature. All plots will be at Residential Training Centers or Research Stations where rain and temperature records are kept.

Other Records. Since the plots are for both demonstration and research purposes the process is very structured. Researchers will develop forms for maintaining records on planting dates, growth observations, maturity rates, yields, etc. and provide them to the assigned people at the time the demonstration/research plots are put out.

Training Staff and Preparing Training Materials

Publications. A 3-4 page training pamphlet has been written by the fertilizer specialists, and is being produced by the Extension Aides Branch. It is to be well illustrated so it can be understood by some farmers as well as by extension staff. The Graphics section of the Extension Aides Branch is now working on the publication, scheduled to be completed by late October or early November. It will be in both English and Chichewa. Ben Sizilande is taking the lead on the publication. Other publications will be developed, some for specific geographic regions.

The publication has been reviewed by the CAO, Actg., who indicated that he felt it was good and should be published and distributed to ADD staff as soon as possible.

Coordination with Extension Aides Branch. Ben Sizilande is responsible.

Training of Trainers. Ben Sizilande and Eon Twiford will be trainers, with assistance from the researchers on the Team. Sizilande will emphasize extension methods and Twiford the technical aspects of using fertilizers.

Farmers' Training

Training Centers. Farmers will be trained every week from November through March. Training sessions are held about 12 days per month. In the rainy season sessions for farmers are held 2-3 hours per morning. Each farmer attends approximately one course per month. Farmers need no incentive to attend the training meetings, but tea is served to make them feel comfortable. Farmers are said to often ask when courses will be held because they plan to attend. When farmer training sessions are held at Residential Training Centers some distance away, transportation is provided.

Mass Media. Programs will be developed by the Extension Aides Branch, working with the extension specialists. They will use movies, puppet shows, and possibly slideshows, in addition to publications to be developed for farmers at a low literacy level..

Financing

Immediate Need for Funds. The fertilizer specialists are looking for a way of "bridging the financing system" to carry them through the planting of demonstrations.

Items to be Purchased. Fertilizers currently being used can be purchased from ADMARK with no problem. Urea is available from Optichem in Blantyre. Optichem is also looking for DAP. If they cannot locate it the fertilizer specialists will look for DAP in South Africa or Zimbabwe. Seed is available at the Research Stations. Local maize will be purchased by extension specialists at the ADDs, from farmers known for having good quality local maize.

Q2
Bob Johnson
10-2-85