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**UNITED STATES OF AMERICA**  
**AGENCY FOR INTERNATIONAL DEVELOPMENT**

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REGIONAL ECONOMIC DEVELOPMENT SERVICES OFFICE  
FOR EAST AND SOUTHERN AFRICA (REDSO/ESA)

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United States Postal Address  
U.S.A.I.D./REDSO/ESA  
UNIT 64102  
APO AE 09831-4102

International Postal Address

January 29, 1993

POST OFFICE BOX 30261  
NAIROBI KENYA

MAY 04 1993

MICHIGAN STATE UNIVERSITY  
Contract and Grant Administration  
302 Administration Building  
East Lansing, Michigan 48824-1064

Section

Subject : Cooperative Agreement No. 623-0226-A-00-3024-00  
Democratic Governance Project (611-0226)  
Monitoring and Evaluation Component

Dear Ladies and Gentlemen:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby grants to Michigan State University (hereinafter referred to as "MSU" or "Recipient") the sum of \$300,000 through this Cooperative Agreement (hereinafter referred to as "Agreement") to provide technical assistance, through the MSU Department of Political Science, for the design and implementation of a monitoring and evaluation plan for the Democratic Governance Project in Zambia, as more fully described in this Agreement in Attachment 1, entitled "Schedule" and Attachment 2, entitled "Program Description".

This Agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives beginning November 1, 1992. Commitments made by the Recipient shall not extend beyond the estimated completion date of the Agreement.

The total estimated amount of this Agreement is \$908,375.00. The total amount currently obligated and available for disbursement is \$300,000.00. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount. However, subject to availability of funds, evaluation of the program, program priorities at the time, availability of key Recipient personnel, and the requirements of the Standard Provision of this Agreement entitled "Revision of Grant Budget" (as set forth in Attachment 3), additional funds may be obligated under this Agreement (by an amendment) until such time as the obligated amount shall equal the total estimated amount of this Agreement.

This Agreement is made with MSU on condition that the funds will be administered in accordance with the terms and conditions as set forth in this Cover Letter, Attachment 1 entitled "Schedule", Attachment 2 entitled "Program Description", Attachment 3 entitled "Standard Provisions", and Attachment 4 entitled "Grantee Certifications", which together constitute the complete Agreement document and which have been agreed to by MSU.

Please sign the original and five (5) copies of this letter to acknowledge your acceptance of this Agreement. Retain one (1) copy for your records and return the original and four (4) copies to the undersigned. Also sign and return the original of the required "Grantee Certifications".

Sincerely,



Richard J. Womack  
Agreement Officer

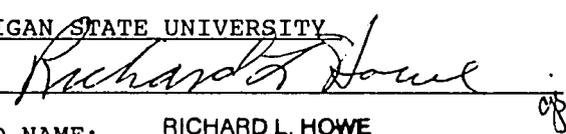
Attachments:

- Attachment 1 - Schedule
- Attachment 2 - Program Description
- ~~Attachment 3 - Standard Provisions~~
- Attachment 4 - Grantee Certifications

ACKNOWLEDGED:

MICHIGAN STATE UNIVERSITY

BY: \_\_\_\_\_



TYPED NAME: \_\_\_\_\_

RICHARD L. HOWE

Assistant Director

Contract & Grant Administration

TITLE: \_\_\_\_\_

DATE: \_\_\_\_\_

FEB 08 1993

FISCAL DATA

PIO/T Nos. : 611-0226.00-3-20031; 611-0226.00-3-20031 Amd. 1  
APPROPRIATION No. : 72-112/31014  
BUDGET PLAN CODE : GSS2-92-21611-KG13  
ECN : Z926028  
RCN : Z926348  
PROJECT OFFICE : USAID/Lusaka, Zambia  
PROJECT OFFICER : John Wiebler, Program Officer, USAID/Zambia  
PAYMENT OFFICE : FA/FM, SA-2, AID/Washington, D.C. 20523  
LOC ACCOUNT NUMBER : 7200-1331  
TOTAL ESTIMATED AMOUNT: \$908,375  
TOTAL OBLIGATED AMOUNT: \$300,000

SCHEDULE

**1A. PURPOSE OF COOPERATIVE AGREEMENT**

The purpose of this Agreement is to implement the monitoring and evaluation component of the Zambia Democratic Governance Project.

Michigan State University's Department of Political Science will be the responsible unit for this Agreement to implement monitoring and evaluation studies for the Zambia Democratic Governance Project.

**1B. PERIOD OF AGREEMENT**

The effective date of this Agreement is the date of the cover letter and the estimated completion date is September 30, 1997. Funds obligated hereunder are authorized for program expenditures beginning November 1, 1992.

**1C. AMOUNT OF AGREEMENT AND PAYMENT**

1C.1. The total estimated amount of this Agreement for its full period, as set forth in Section 1B, above, is \$908,375.

1C.2. USAID hereby obligates the amount of \$300,000 for program expenditures. Additional funds will be provided over the period of the Agreement following the Standard Provision entitled "Revision of Grant Budget", subject to the availability of funds. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

1C.3. Payment shall be made to the Recipient in accordance with procedures set forth in the Standard Provision of this Agreement entitled "Payment - Letter of Credit" as shown in Attachment 3.

1C.4. Documentation required by the payment provision noted above shall be submitted to:

AID/M/FM/PAFD  
Washington, DC 20523

**1D. AGREEMENT BUDGET**

1D.1. The following is the Budget for this Agreement. The Recipient may not exceed the total estimated amount or the obligated amount, whichever is less (see Section 1C, above). Except as specified in the Standard Provision of this Agreement entitled "Revision of Grant Budget", as shown in Attachment 3, the Recipient may adjust costs among line items by +/- 15% as may be reasonably necessary for the attainment of program objectives. Any adjustment greater than this requires the prior approval of the Agreement Officer. In no case shall the total obligated amount be exceeded. Revisions to the budget shall be in accordance with Section 1C, above, and the Standard Provision entitled "Revision of Grant Budget".

**1D.2. Budget 11/01/92 - 9/30/97**

<u>Cost Element</u>	<u>USAID</u>
I. Salaries	\$236,540
II. Fringe Benefits	53,156
III. Consultant Fees	119,238
IV. Fellowships	60,000
V. Travel/Transport	76,546
VI. Per Diem	69,952
VII. Equipment	9,500
VIII. Supplies and Services	23,103
IX. Indirect Costs (45%)	<u>260,340</u>
	<u>\$908,375</u>

1D.3. Inclusion of any cost in the budget of this Agreement does not obviate the requirement for prior approval by the Agreement Officer of cost items designated as requiring prior approval by the applicable cost principles (see the Standard Provision of this Agreement set forth in Attachment 3 entitled "Allowable Costs") and other terms and conditions of this Agreement, unless specifically stated in Section 1I, below.

1D.4. Notwithstanding the effective date of this Agreement as shown in the cover letter above, and subject to the Standard Provision of this Agreement entitled "Allowable Costs", costs incurred by the Recipient in pursuit of program objectives on or after the earliest date set forth in Section 1B, above, shall be eligible for reimbursement hereunder. Such costs are included in the Agreement Budget shown above.

1D.5. In accordance with the Standard Provision of this Agreement entitled "Local Cost Financing", local cost financing is hereby authorized.

## 1E. REPORTING

### 1E.1. Financial Reporting

1E.1.(a) Financial reporting requirements shall be in accordance with the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit", as shown in Attachment 3.

1E.1.(b) All financial reports shall be submitted to USAID, Office of Financial Management, AID/M/FM/PAFD, Washington, D.C. 20523. In addition, shall submit directly to the Controller, USAID/Zambia and to the USAID Project Office specified in the cover letter of this Agreement, a copy of its "Financial Status Report" (SF-269) along with a copy of a comprehensive financial report on a monthly basis. This submission shall include a copy of the detailed statement of expenditures submitted to AID/Washington along with the "Financial Status Report". These reports shall be submitted at the same time that the original financial statement is submitted to AID/Washington.

1E.1.(c) The frequency of financial reporting and the due dates of reports shall be as specified in the Standard Provision of this Agreement referred to in Section 1E.1.(a) above.

1E.1.(d) In order to comply with USAID's "Buy American" policy and the reporting requirements with regard to the source and origin of procurements, shall also provide USAID/Zambia with a breakdown by both source and origin of expenditures contained within each of their financial statements. Source and origin data will be expressed as one of the USAID Geographic Codes.

1E.2. Technical Reporting

1E.2. (a) Quarterly Reports

The Recipient shall submit two copies of quarterly program performance (progress) reports, which coincide with the financial reporting periods described in Section 1E.1. above, to the USAID Project Office specified in the cover letter of this Agreement. These reports shall be submitted within 30 days following the end of the reporting period, and shall briefly present the following information:

(1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both. If the output of programs can be readily quantified, such quantitative data should be related to cost data for computation of unit costs;

(2) Reasons why established goals were not met, if applicable;

(3) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.

1E.2. (b) Special Reports

Between the required program performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Recipient shall inform USAID as soon as the following types of conditions become known:

(1) Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any USAID assistance needed to resolve the situation.

(2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

(3) If any performance review conducted by the Recipient discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of this Agreement entitled "Revision of Grant Budget", the Recipient shall

submit a request for budget revision to the Agreement Officer and the USAID Project Officer specified in the cover letter of this Agreement.

1E.2.(c) Final Report

A final report covering an evaluation of all activities will be presented no later than the estimated completion date shown in 1.B, above. The Recipient shall submit two copies of the final report to the USAID Project Office specified in the cover letter of this Agreement. It will cover the entire period of the Agreement and include all information shown in Sections 1E.2.(c)(1) through 1E.2.(c)(3) above.

1E.2.(d) Oral Reports

Oral reports will be given upon request by USAID. FAX communication is a satisfactory medium for oral reporting.

1E.2.(e) Other Reports

Other reports will be given as required by the Program Description, Attachment 2, of this Agreement.

1E.3. Participant Training

If the Standard Provision entitled "Participant Training" applies to this Agreement (see Section 1K. below), the Recipient shall comply with reporting and information requirements of said Standard Provision, as well as Chapter 5 of USAID Handbook 10.

1F. TITLE TO PROPERTY

Title to and use of property acquired hereunder shall vest in the Recipient pursuant to the Standard Provision of this Agreement entitled "Title To and Care of Property (Grantee Title)". The use, accountability, and disposition of property acquired hereunder shall be the responsibility of the title holder at all times.

1G. AUTHORIZED GEOGRAPHIC CODE

1G.1. In addition to other applicable provisions of this Agreement, the Recipient shall comply with paragraph (b)(2) of the Standard Provision of this Agreement entitled "AID Eligibility

Rules for Goods and Services", concerning total procurement value of more than \$250,000 under this Agreement, except that said paragraph does not apply to the restricted goods listed in paragraph (a)(3) of said Standard Provision, which must be specifically approved by the Agreement Officer in all cases. Paragraph (b)(1) of said Standard Provision does not apply.

1G.2.(a) Procurement: The authorized geographic code for this Agreement is the Special Free World Countries (935). All goods and services which will be reimbursed under the Agreement and financed with U.S. Dollars, shall be procured in and shipped from only "Special Free World" (AID Geographic Code 935) countries in accordance with the following order of preference:

- (1) The United States (AID Geographic Code 000)
- (2) The Cooperating Country (AID Geographic Code 935)
- (3) Selected Free World Countries (AID Geographic Code 941)
- (4) Special Free World Countries (AID Geographic Code 935)

1G.2.(b) Application of Order of Preference: When goods and services are procured by the Recipient from other than U.S. sources, under the order of preference detailed above, the Recipient will document its files to justify each such instance. The documentation shall set forth the circumstances surrounding the procurement, and shall be based on one or more of the following reasons:

- (1) The procurement was of an emergency nature, which would not allow for the delay attendant to soliciting U.S. sources;
- (2) The price differential for procurement from U.S. sources exceeded by 50% or more the delivered price from a non-U.S. source;
- (3) Impelling local political considerations precluded consideration of U.S. sources;
- (4) The goods or services were not available from U.S. sources;
- (5) Procurement of locally available goods and services, as opposed to procurement of U.S. goods and services, would

operated by the University. Any one grant or contract will only have one indirect cost rate, either the negotiated on-campus rate or the negotiated off-campus rate. The rate will be determined by the preponderance of the dollar amount of effort; e.g., when the total off-campus salaries charged to a grant or contract exceeds the total on-campus salaries charged to a grant or contract, the off-campus rate will be applied to the project and vice-versa.

Because a preponderance of the salaries in this Agreement shall be charged to on-campus personnel, MSU shall charge indirect costs for this project at an "on-campus", rather than "off-campus", rate.

## 1I. SPECIAL PROVISIONS

### 1I.1. Cost Principles

For the purposes of this Agreement, references to the cost principles of OMB Circular A-21 or OMB Circular A-122 include the USAID implementation of such cost principles, as set forth in Subparts 731.371(a) or 731.772(a), respectively, of the A.I.D. Acquisition Regulation (48 CFR Chapter 7).

### 1I.2. Equipment and Other Capital Expenditures

Pursuant to Section 1D.3, above, and the Standard Provisions of this Agreement entitled "Allowable Costs," and "Revision of Grant Budget", and by extension, Section J.13 of OMB Circular A-21, whereby the Recipient must obtain USAID Agreement Officer approval for the purchase of general purpose equipment (i.e., an article of nonexpendable tangible personal property which is usable for other than research, medical, scientific or technical activities, whether or not special modifications are needed to make them suitable for a particular purpose [e.g., office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment], having a useful life of more than two years and an acquisition cost of \$500 or more per unit); purchase of special purpose equipment (i.e., an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or technical activities [e.g., microscopes, x-ray machines, surgical instruments, and spectrometers], and which has a useful life of more than two years and an acquisition cost of \$1,000 or more per unit), the Agreement Officer does hereby provide such approval for the following (which shall not be construed as authorization to exceed the total estimated

amount or the obligated amount of this Agreement, whichever is less [see Section 1C. above]):

Over \$500/unit

- 2 - Portable Microcomputers
- 2 - Laser Printers
- 1 - Fax Machine

This prior approval does not obviate the requirements of the Standard Provisions of this Agreement entitled "Procurement of Goods and Services", "AID Eligibility Rules for Goods and Services", "Local Cost Financing", and any other provisions, rules, regulations, and policies which may apply.

1.I.3. Closeout Procedures

1. The following definitions shall apply for the purpose of this section:

- a. Closeout. The closeout of a Agreement is the process by which USAID determines that all applicable administrative actions and all required work of the Agreement have been completed by the Recipient and USAID.
- b. Date of Completion. The date of completion is the date on which the work under the Agreement is completed or the date on the award document, or any supplement or amendment thereto, on which USAID sponsorship ends.
- c. Disallowed Costs. Disallowed costs are those charges to a Agreement that USAID or its representative determines to be unallowable in accordance with the applicable Federal cost principles or other conditions contained in the Agreement.

2. USAID closeout procedures include the following requirements:

- a. Upon request, USAID shall make prompt payments to a Recipient for allowable reimbursable costs under the Agreement being closed out.
- b. The Recipient shall immediately refund any balance or unobligated (unencumbered) cash that USAID has advanced or paid and that is not authorized to be retained by the Recipient for use in other grants or agreements.

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- c. USAID shall obtain from the Recipient within 90 calendar days after the date of completion of the Recipient all financial, performance, and other reports required as a condition of the Agreement. USAID may grant extensions when requested by the Recipient.
- d. When authorized by the Agreement, USAID shall make a settlement for any upward or downward adjustments to USAID's share of costs after these reports are received.
- e. The Recipient shall account for any property acquired with USAID funds, or received from the Government, in accordance with the provisions of Chapter 1, paragraph T, of USAID Handbook 13.
- f. In the event a final audit has not been performed prior to the closeout of the Agreement, USAID shall retain the right to recover an appropriate amount after fully considering the recommendations on questioned costs resulting from the final audit.

**1J. RESOLUTION OF CONFLICTS**

Conflicts between any of the Attachments of this Agreement shall be resolved by applying the following descending order of precedence:

- Attachment 1 - Schedule
- Attachment 3 - Standard Provisions
- Attachment 2 - Program Description

**1K. STANDARD PROVISIONS**

The Standard Provisions set forth as Attachment 3 of this Agreement consist of the Mandatory Standard Provisions, and the Optional Standard Provisions, denoted by an "X" if applicable, which are attached hereto and made a part of this Agreement.

**1L. COST SHARING**

1L.1. The Recipient is exempt from any cost sharing under this Agreement.

1L.2. The Standard Provision of this Agreement entitled "Cost Sharing (Matching)" makes reference to project costs. "Project Costs" are defined in Attachment E of OMB Circular A-110 as all allowable costs (as set forth in the applicable cost principles [see the Standard Provision of this Agreement entitled "Allowable Costs"]) incurred by a Recipient and the value of in-kind contributions made by the Recipient or third parties in accomplishing the objectives of this Agreement during the program period.

**1M. SUBSTANTIAL INVOLVEMENT**

Performance of the Agreement will require substantial involvement by USAID. Specific areas of involvement include, but are not limited to, the following list. This list may be subsequently amended as agreed to by the parties of the Agreement:

1. Concurrence in the hiring and replacement, and the right to request removal of key personnel, including long-term expatriate personnel.
2. USAID/Zambia and Recipient collaboration and/or joint participation in defining objectives and scopes of work for specific monitoring and evaluation activities.
3. USAID/Zambia review and approval of one stage of work before activities can begin on subsequent stages during the period of the Agreement.
4. USAID/Zambia monitoring of program implementation to ensure coordination with other Mission activities, and to permit specified kinds of direction or redirection of the work because of interrelationships with other projects.

1N. BENEFITS AND RATES

For purposes of this Agreement the benefits and rates set forth in MSU's administrative, personnel and travel and policies are considered reasonable and acceptable because MSU has received numerous grants and cooperative agreements from the U.S. Government and it's administrative, personnel and travel policies and procedures have obviously been analyzed many times for compliance with federal regulations. Based upon the prior approval of other U.S. government agencies, those administrative, personnel and travel policies are hereby accepted for purposes of administering benefits and rates in this Agreement.

10. KEY PERSONNEL

1. The following specified personnel are considered to be "key persons" essential to the work being performed hereunder:

Baseline Study	Michael Bratton (PLS/ASC)
Management Information System	Frank Zinn (IPPSR/Urban Planning) or Ruth Beier (IPPSR)
Special Study 1 (Economic Reform)	Nicolas van de Walle (PLS/ASC)
Special Study 2 (Gender Issues)	Anne Ferguson (ANP/ASC/WID)
Special Study 3 (Political Culture)	Michael Bratton (PLS/ASC)

2. Prior to any key person's withdrawal from the program, or prior to diverting any of the specified individuals to other programs, the Recipient shall notify the Agreement Officer personally in writing in advance and shall submit justification in sufficient detail to permit evaluation of the impact on the program.

3. No key person shall withdraw, and no diversion shall be made by the Recipient, without the written consent of the Agreement Officer; provided, that the Agreement Officer may ratify in writing such individual's withdrawal or diversion to another program. Such ratification shall constitute the consent of the Agreement Officer required by this Clause.

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4. Proposed substitutions must be submitted simultaneously to the Agreement Officer and the USAID Project Officer not later than 30 days before the diversion of any of the specified individuals. Failure to do so may be considered nonperformance by the Recipient.

5. The listing of key personnel may, with the consent of USAID and the Recipient, be amended from time to time during the course of this Agreement to either add or delete personnel, as appropriate.

6. USAID reserves the right to terminate this Agreement if the Recipient loses a key person in this program and USAID/Zambia decides not to accept any substitute proposed by Recipient.

(END OF "SCHEDULE")

## PROGRAM DESCRIPTION

### A. Program Goal and Purpose

The goal of the Democratic Governance Project (DGP) is to promote accountable government in Zambia through four strategic interventions which are discussed later.

The purpose of the monitoring and evaluation program activity is for MSU to provide the technical assistance needed in the gathering of information on progress in the DGP and in democratic consolidation in Zambia.

### B. Detailed Program Description

#### 1. Background

In October 1991, when Frederick Chiluba's Movement for Multiparty Democracy won free and fair elections, Zambia became the first English-speaking country in postcolonial Africa to undergo a democratic transition.

Within a year, by September 1992, USAID approved a Democratic Governance Project (Project No. 611-0226) aimed at supporting the consolidation of democratic institutions and processes in Zambia. The U.S. government will contribute an estimated \$15 million to the project over five years. This type of assistance project is the first of its kind in Zambia and one of the original efforts in Africa under USAID's Democratic Initiative.

The goal of the Democratic Governance Project is to promote accountable government in Zambia through four strategic interventions:

- \* increasing citizen awareness of civil rights
- \* enabling independent and professional journalism
- \* enhancing the legislative performance of the National Assembly, and
- \* co-ordinating policy making and implementation in the Cabinet Office.

For purposes of implementation, the U.S. Ambassador will chair a supervisory Democracy/Governance Policy Advisory Committee and USAID/Zambia will recruit an in-house Democracy/Governance Advisor and Project Manager. Actual project activities will be implemented by grantee institutions in Zambia (i.e. the Foundation for Democratic Process, the Zambia Institute of Mass Communications, the National Assembly, and the Cabinet Office). The D/G Advisor will have special responsibility for monitoring the evolving political environment in Zambia and devising ongoing policy, program and project responses.

2. Need

The Democratic Governance Project has several distinct features:

- \* it marks the entry of USAID/Zambia into a sensitive and complex area of assistance programming;
- \* it has a flexible design enabling modification of project activities according to changing circumstances;
- \* it supports a leading experiment at democratization in Africa from which other USAID missions, aid agencies and governments can learn.

For these reasons, higher-than-usual priority should be given to monitoring and evaluation in this project. The approved Project Paper calls for a comprehensive monitoring and evaluation plan for gathering information on progress in the project and in democratic consolidation in Zambia.

3. Objective

Through its unsolicited proposal, Michigan State University suggested a Cooperative Agreement with USAID/Zambia for the design and implementation of a monitoring and evaluation plan under the Democratic Governance Project in Zambia.

MSU proposed and USAID/Zambia concurs in a program of work for MSU to deliver three principal products:

- \* a management information system to enable project staff to monitor the timely procurement of project inputs and delivery of project outputs;

- \* a series of evaluation studies (baseline, mid-term, and final) to provide policy-relevant information to USAID and others on project outcomes and impacts;
- \* a series of special studies to provide state-of-the-art, in-depth analysis to USAID and others on issues of democratic consolidation in an African country.

#### 4. Activities/Deliverables

The sections below provide details on the substance of the main monitoring and evaluation activities and the level of effort necessary to execute them.

a. Baseline Study. The baseline study will generate benchmark data against which progress in the achievement of project goals can be monitored and evaluated. The baseline study will use rapid appraisal techniques to address two main sets of questions:

- \* What is the initial status of political institutions in terms of the accessibility and effectiveness of decision-making? This investigation would update analysis on the four main institutions targeted in the project (Cabinet, Assembly, ZAMCOM and FODEP) and derive operational indicators against which to assess institutional change.

- \* What are the orientations (cognitive, attitudinal and behavioral) of Zambian citizens on issues of democracy and governance? This data would be gathered in public opinion surveys among prospective project beneficiaries in the capital city and rural areas.

The first activity in the monitoring and evaluation plan is to design and plan the baseline study. This will occur as early as possible (preferably year 1, month 1). The principal investigator (PI) from MSU will travel to Zambia to recruit a collaborating Zambian research institution and to design and plan the baseline study.

The baseline study itself will be conducted three months later (year 1, month 4). It will be a collaborative effort involving the PI, a senior local researcher, and a team of one dozen short-term Zambian assistants/enumerators.

The level of effort for the implementation of the baseline study will be as follows. The PI would review relevant literature, prepare research instruments, conduct in-country research, analyze

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data, and write a baseline study report. The Zambian investigator would collaborate on all these activities and take special responsibility for planning survey logistics. The level of effort for this senior local technical assistant will be 42 days (e.g. 6 for survey planning, 18 for in-country research, 6 for data analysis, 12 for report writing). Two quarter-time research assistants will work at MSU on instrument preparation, data processing, data analysis. In Zambia, ten enumerators in Zambia (180 person days) will administer the baseline survey.

The budget reflects air travel for the PI and per diem costs for the full research team. The team anticipates using surface transportation for 12 persons to visit five regional centers in Zambia to administer some 500 survey questionnaires over a period of 18 days. USAID/Zambia shall provide all local transportation necessary to carry out his program, including drivers as needed. MSU plans to purchase microcomputers with laser printers and appropriate software for the collaborating research institution to enable all phases of data management.

The baseline study report will be delivered by year 1, month 8.

**b. Management Information System.** The management information system will serve as a tool for project managers. It will provide the D/G Policy Advisory Committee, D/G Adviser, Project Manager and grantee institutions with timely information on progress in project implementation. The system will be designed to generate quarterly reports on project status to enable mid-course corrections to the project implementation schedule. Where relevant, the monitoring system will include beneficiary participation in monitoring. The monitoring system is expected to upgrade the capacity of all participating agencies to manage project implementation.

The management information system will consist of a set of performance indicators tied to specific task objectives in the project, together with a timetable of reporting procedures. The indicators and timetable will be derived from detailed implementation plans for every project activity. The monitoring system will start by confirming GOZ compliance with conditions and covenants required for project start-up. It will then track the procurement and delivery of project inputs (e.g. personnel, equipment, services) and the implementation of project outputs (e.g. training workshops, study tours, institutional reforms). Data gathering mechanisms will be put in place: e.g., all workshops would close with evaluation by participants; all travellers on study tours would file reports on return to Zambia; and equipment would be randomly spot-checked for use only according

to prescribed project purposes. Reporting requirements will include both periodic status assessments and ongoing "process documentation".

MSU will provide a management information specialist to set up the management information system. During a three week consultancy, this individual will work closely with the D/G Adviser and grantee/implementing agencies on design and set up of the system. Before departing from Zambia, the specialist will report to the Ambassador and Mission Director on the institutional capacity of project implementing agencies and propose actions to break actual and expected bottlenecks in project implementation.

This activity will occur early in the project and preferably be timed to coincide with the implementation of the baseline study (i.e. year 1, Month 4).

The proposed level of effort for setting up the management information system is 18 days of short-term expatriate TA. The attached budget reflects the costs of consultancy fees, round trip air fare (U.S.-Zambia), and per diem. USAID/Zambia shall provide all necessary local transport, including a driver.

c. **Mid-Term Evaluation.** The mid-term evaluation will provide the first systematic assessment of project outcomes at the level of grantee institutions, beneficiary populations, and the democracy/governance environment in Zambia. That is, the evaluation will appraise project performance against stated project goals and purposes ("to make public decision-making more accessible and effective"). It will be conducted in year 3, probably in month 6.

Given the broad project scope (four major institution-building components), an evaluation team of three persons will be required, of whom one should be a Zambian. The level of effort is 24 days per person. The team will be composed of a political scientist and specialists in two of the following fields: public administration, mass media, and non-governmental organizations. No additional social survey work above and beyond the political culture study (see below) will be necessary at this stage.

If requested by USAID, the mid-term evaluation report could be accompanied by a paper prepared on D/G measurement issues arising from the Zambian case.

d. **Final Evaluation.** The final evaluation, in Year 5, will be implemented at the same level of effort as the mid-term evaluation. A five percent (5%) annual inflator has been included in the budget

to cover expected cost increases. In addition, a final survey will be conducted at this time, focussing on project effects on beneficiary attitudes and behaviors.

e. Special Studies. To maximize learning from the Zambian case, five special studies on the consolidation of democratic governance will be conducted during the life of the project. The studies are intended to generate lessons and recommendations for USAID and contribute to the scholarly literature on democratic change.

MSU proposed and USAID/Zambia concurs in the following topics for the first three studies:

\* Democratization and Economic Reform in Zambia. This study would examine the two-way, multifaceted relationship between political and economic liberalization in the context of Zambia. Does democratization help or hinder economic reform, and if so, how? The study would focus on the effects of democratization on key policies such as maize price liberalization, privatization of public corporations, public service retrenchment, and wage policy. And conversely, what effects do economic reforms in such policy areas have upon the popular support and political legitimacy of a democratically elected government?

\* Democratization and Gender Issues in Zambia. While women played a major role in promoting political change and were the majority of voters in the historic October 1991 elections, they have yet to benefit significantly from appointments and policies of the MMD government. This study would explore opportunities and obstacles to full participation by women in the Zambian political system at national and local levels and in government and civic realms. Tangentially the study would address the issue of internal democracy in women's organizations and other NGOs in Zambia's civil society.

\* Democratization and Political Culture in Zambia. In the final analysis, the sustainability of democracy depends importantly on whether citizens are willing to defend it. This study will explore the nature of the old political culture of passivity and deference and assess whether, under a democratic regime and civic education program, new values of activism, trust, tolerance, efficacy, and entrepreneurship are becoming rooted among different subsectors of Zambia's population. The study will take advantage of the opportunity now available in Zambia to conduct the first public opinion surveys on political topics in a generation.

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Each study will have a policy orientation and include recommendations on aid programming. For example, the economic reform study will explore linkages between strategic objectives in USAID/Zambia's overall assistance program. The gender study will identify promising prospects for future D/G project initiatives. And the political culture study is an integral part of the M and E plan; it will provide detailed follow-up to respondents, questions and issues raised in the baseline study and, as such, provide public opinion data for use in mid-term and final evaluations.

Each study will involve two-person teams of senior researchers from participating U.S. and Zambian research institutions. The economic reform and gender studies will each require 36 person days of MSU senior researchers' time and 36 person days of senior local TA. This will be divided approximately between 24 days of field research and 12 days of report writing for each person. The political culture study will require the same level of effort as the baseline study (PI plus 42 person days senior local TA) and will cost the same (plus inflator for Year 2).

The findings of the special studies will form part of the data base for evaluation and will be delivered to USAID/Zambia before the mid-term evaluation (year 3, month 6).

Topics for the remaining two studies will be decided in consultation with USAID/Zambia. Depending on the topics chosen, these may be approached as long-term exercises. This proposal assumes that the last two studies will be conducted by two-person teams of graduate students (one American and one Zambian for each study) from participating research institutions. They would be supervised by the PI and other senior researchers from the project. These junior researchers would be supported for one year of field work towards an advanced degree. Before leaving the country, they would be required to submit a policy-oriented report to the Mission Director, the terms of which will have been negotiated with USAID/Zambia.

5. Project Management

The Principal Investigator (PI) will take overall responsibility for managing the sequence of monitoring and evaluation (M & E) activities proposed here. His functions include regular consultation on monitoring and evaluation issues with USAID/Zambia, recruitment and deployment of personnel, supervision of research activities, and production and delivery of M & E reports. As indicated above, the PI will also lead the baseline study and one special study and participate in mid-term and final evaluation studies. The PI anticipates providing an annual level of effort for the life of the project of 10 weeks at 100 percent (100%) time and 39 weeks at 25 per cent (25%) time.

To support the PI in management functions, MSU will assign an administrative assistant to this project on a quarter-time basis. This person will be responsible for providing support services on personnel recruitment and deployment and general project office operations. This person will also maintain project financial records and meet USAID financial reporting requirements.

For research purposes, the PI and other members of the M & E team will use the MSU PLS Politometrics Laboratory. The Department of Political Science will assign to the project two one-quarter time research assistants and two doctoral fellows from among its best graduate students in comparative politics, attracted to MSU because of its national reputation for research in African politics. The research assistants will be provide support services in bibliographic research, instrument preparation, data entry, and data processing. The doctoral fellows will conduct the two special studies on topics yet to be determined.

Through the PI, MSU will establish a working partnership with counterpart research institution in Zambia, probably at the University of Zambia (possibly the Department of Political and Administrative Studies or the Institute for African Studies). MSU will supervise the selection of two local doctoral fellows. MSU is also committed to helping build local M & E capacity within grantee organizations in Zambia that are implementing activities under the Democratic Governance project.

6. Timetable

Design Baseline Study	Year 1, Month 1
Conduct Baseline Study	Year 1, Month 4
Establish Management Information System	Year 1, Month 4
Deliver Baseline Study Report	Year 1, Month 8
Conduct Special Study No.1	Year 1, Month 12
Conduct Special Study No.2	Year 2, Month 3
Conduct Special Study No.3	Year 2, Month 6
Design Long-term Studies	Year 2, Month 9
Deliver Special Study Reports	Year 2, Month 12
Conduct Mid-Term Evaluation	Year 3, Month 6
Deliver Mid-term Evaluation Report	Year 3, Month 9
Deliver Long-Term Study Reports	Year 4, Month 3
Conduct Final Evaluation	Year 5, Month 9
Deliver Final Evaluation Report	Year 5, Month 12

(End of PROGRAM DESCRIPTION)