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AGRICULTURAL SYSTEMS SUPPORT PROJECT (ASSP):
USAID IMPLEMENTATION MANUAL

PREPARED FOR:

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ACKNOWLEDGEMENTS

This Manual resulted from the interest of USAID/Kenya's Agricultural Division. Dr. Kenneth Eubanks, Chief of that Division, originated and pursued the idea of having a practical field-oriented manual to assist USAID project officers in implementing Mission financed projects. The Manual, specifically developed for the Agricultural Systems Support Project (ASSP), reflects the involvement and contribution of many individuals in the United States AID Mission to Kenya (USAID/Kenya).

Mr. David Christenson, Deputy Chief of the Agricultural Division and Senior ASSP Project Officer, provided valuable information and assistance at every stage of the Manual's development. Other professional members of the Agricultural Division who share ASSP Project management responsibility, notably Mr. Fred Holmes, Dr. Charles Hash, and Mr. William Scarborough, also provided major inputs to the substantive portions of the Manual. Mr. Satish Shah, Multi-Sector and Engineering Division, was very helpful at every stage in validating our ideas and suggesting additions. Dr. Glenwood Roane, Mission Director, Mr. Carl Penndorf and Mr. Dominic D'Antonio of Program, and Dr. John Slattery of the HNP Office, met with PCI team members on occasion and provided useful information. Mr. Grover Robinson, Controller, East African Accounting Center, helped explain the AID procedures and processes which are summarized in the Manual. Drafting work was done by Mr. Saidi Mussa and Mr. J.N. Gichohi of Kenya and by the Industrial Research and Consultancy Unit of the University of Nairobi. The Manuscript was prepared with the skillful and gracious assistance of Ms. Rachel VanDerhoff, Ms. Barbara Cassidy, Ms. Suryakala Shah, and Ms. Alice Slattery.

CHAPTER I: IMPLEMENTATION MANUAL OBJECTIVES,
SCOPE AND USE

A. INTRODUCTION

1. ASSP Project Description

In late 1978 the United States AID Mission to Kenya (USAID/Kenya) reached an agreement with the Government of Kenya (GOK) to assist in financing a large, multifaceted six and one-half year Agricultural Systems Support Project (ASSP, No. 615-0169). ASSP encompasses several distinct, but interrelated sub-project components that come under the general headings of:

- . Agricultural Manpower Systems Support (Egerton College, Coastal Agricultural Institute, University of Nairobi, and the Ministry of Agriculture);
- . Range Research Support (Ministry of Agriculture)
- . Storage System Support (Ministries of Agriculture and Cooperative Development);
- . Cooperative System Support (Ministry of Cooperative Development);
- . Credit System Support (Agricultural Finance Corporation).

ASSP funding includes both loan and grant elements. The GOK executing agency for the loan portion is the Ministry of Agriculture (MOA) and Egerton College. The grant funded activities are the responsibility of the Ministries of Agriculture (MOA), Cooperative Development (MOCD) and Education (MOE), as well as the Agricultural Finance Corporation (AFC). In addition to multiple executing agencies, the Project is being carried out under a wide variety of USAID/Kenya, AID/Washington, and GOK Host Country Contract (HCC) arrangements.

** more involvement is required, not less.*

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2. ASSP Implementation Consultancy Objectives

The overall complexity of ASSP, combined with its numerous implementation arrangements, led the Agriculture Division to seek assistance in developing and installing an integrated project implementation system. The Chief of the Agriculture Division, Dr. Kenneth Eubanks, viewed the installation of an ASSP implementation system as serving two primary objectives. First, it was felt that the installation and use of a USAID oriented system would assist in assuring that agreed upon objectives are accomplished within the project's allotted time and budget constraints, and with a minimum level of USAID direct-hire personnel involvement. Secondly, the Mission saw the development of the ASSP implementation system as the possible precursor of similar systems for other USAID funded projects.

*an unfortunate attitude **

In August 1979, AID/Washington contracted with Practical Concepts Incorporated (PCI) of Washington D.C. to develop and assist USAID/Kenya Personnel to install an integrated ASSP implementation system. PCI was requested to provide consultancy services in Kenya on two occasions between August 1979 and November 1979. On the initial one-month trip the PCI team was tasked with the following:

- . Develop initial ASSP diagrams of objectives, assumptions, and key sub-project elements. Visit major ASSP sub-project locations with key GOK and USAID personnel;
- . Refine ASSP objectives, diagram them and develop networks for the sub-projects;
- . Develop operational bar charts for sub-project and project activities;
- . Develop implementation responsibility diagrams for key actors and activities;

- . Develop a monitoring and reporting system which integrates the objective diagram, the bar charts, and the implementation responsibility diagrams;
- . Develop contingency plans for the projects and sub-projects;
- . Prepare an ASSP management system manual incorporating formats and instructions for the various management system components; and
- . Conduct the final team briefings on use of the Management Information System.

On the one-week follow-up installation trip by the PCI Project Director (to be carried out in late October or November), the tasks are to include:

- . Relating comments and suggested revisions from PCI Senior Level staff;
- . Reviewing the management system with the ASSP project Management Team (USAID and GOK):
- . Making refinements in the system as required; and
- . Revising the management system manual as required.

B. PURPOSE AND USE OF THE MANUAL

1. Purpose of Manual

The purpose of this Manual is to provide USAID/Kenya with an integrated set of management tools to assist in implementing the Agricultural Systems Support Project. This version of the Manual, prepared towards the end of PCI's initial Mission consultancy, is preliminary. It will be revised on a follow-up visit to incorporate user comments and suggestions.

2. Scope of the Manual

The tools that are introduced, explained and applied in the Manual were specifically developed for the ASSP project and USAID/Kenya ASSP personnel. Thus, the Manual lays out a system which is tailored to USAID personnel in general and to USAID ASSP project personnel in particular.

This Manual, by focusing on the particular management needs of USAID ASSP project personnel, attempts to reduce the potentially burdensome load of implementing this complex project. The Manual does this by demonstrating how USAID's physical and financial system can be integrated, and how the USAID officer can benefit by dealing with implementation issues at the right level of detail, at the right time.

Although developed specifically for ASSP, we believe the tools presented in this Manual are applicable to a broad range of projects and organizational settings. We are hopeful that others will be encouraged by this example, and will find a way to use one or more of the tools discussed here in implementing projects of concern to them.

3. Use of the Manual

The Manual is intended to be used in several ways. First, USAID/Kenya personnel who are directly involved in the ASSP effort may refer to it for implementation information, explanations and guidance. The various ASSP charts, networks and plans contained in Chapter III should be of immediate relevance to these individuals. In addition, the system tool description and modification modules found in Chapter II should assist ASSP personnel to periodically update the project-specific material.

A second group who may find the Manual useful are non-ASSP USAID personnel with current or anticipated implementation responsibilities. For this group, the Manual (with its accompanying ASSP examples) should serve both as a guide and as a reference. The Manual can function as a guide to a set of integrated management tools which are currently available and can be immediately applied to facilitate the project implementation process. The Manual may also be seen as a supplement to the Implementation Planning Section of AID's Project Assistance Handbook, #3.

4. Manual Format

The Manual has two substantive chapters. Chapter II consists of a series of modules describing the several tools used in the implementation system. The modules include:

- . Objective Trees
- . Implementation LogFrames
- . Implementation Sub-routines
- . Performance Networks
- . Bar/Responsibility Charts
- . Monitoring/Reporting Plans
- . Early-warning and Back-up System Charts

Each module is intended to provide the project implementor with the information required to understand, appropriately use, and modify a particular implementation tool. Each tool module is structured as follows:

- . Description: This section briefly defines the salient characteristics of the tool.
- . Implementation Uses: Many of the tools discussed in the Manual can be used at several project stages (e.g., design, implementation, impact evaluation, etc). This section explains the specific utility of the tool for the project implementation process.

- . Method of Use: This section presents the steps and procedures to follow in using the products developed with the management tool. It explains how the project officer can consult these products to obtain timely information and make appropriate decisions.
- . Preparation and Modification: This section focuses on the "how to" of constructing and modifying the products. Standard design conventions are described and applied to project examples.

Chapter III is divided into three ASSP-specific sections. Section A, Installation Considerations, reviews the status of the project at the time when the consultancy began. It also presents the major implementation premises adopted by the PCI team. In Section B, Managing the Overall Project, the system products that are relevant to the entire project are introduced and discussed. The final section, C, Managing the Sub-Project Components, provides a detailed listing of the implementation system that has been developed for each of the project's fourteen components.

CHAPTER II: USAID IMPLEMENTATION SYSTEM TOOLS

This chapter presents the basic Implementation System tools used during the ASSP consultancy. Although the tool modules included here were specifically designed and prepared with the ASSP project in mind, we have attempted to present them in a format that is applicable to other development project contexts.

MODULE A. OBJECTIVE TREESDESCRIPTION:

Objective trees graphically depict the objectives of a project in a series of hierarchical levels. Objective trees assume that cause/effect or means/ends linkages interrelate the project objectives. (See Figure IIA-1)

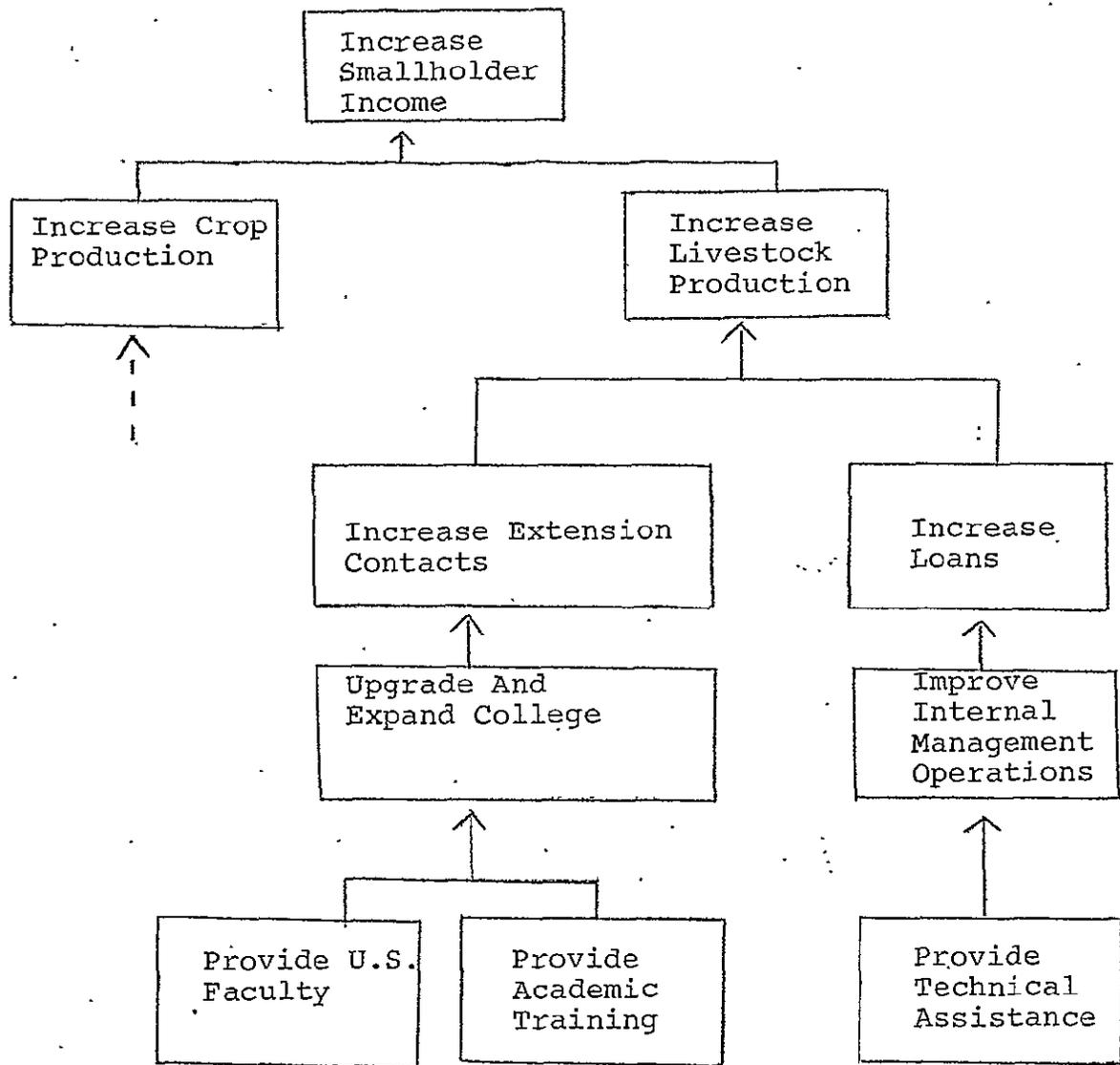
IMPLEMENTATION USES:

1. Provide the guiding rationale for the development of an implementation system.
2. Show how project objectives are interrelated.
3. Demonstrate how the attainment of sub-objectives contributes to the accomplishment of higher order objectives.
4. Provide initial inputs to other implementation techniques such as the Implementation LogFrames, Performance Networks, and Bar/Responsibility Charts.

METHOD OF USE:

Objective trees are constructed and used to aid in implementation planning and redesign. The availability of a completed tree allows the implementation officer to visually determine how sub-project components interrelate at various levels of the project. The project officer may consult the objective tree when any of the following types of information are required:

Figure IIA-1: Illustrative Example of an Objective Tree



1. When one would like to have a quick overall picture of project sub-components and their hypothesized cause and effect linkages. This information may be useful in determining the phasing of project inputs. It is also an aid for providing a general introduction to new staff or visiting dignitaries. Finally, it is a logical starting place for determining the proper scope of project-wide and component impact evaluations.
2. When important project changes are contemplated or unexpectedly occur. The objective tree display can often indicate the probable effects that the change will have on other sub-project components or high level objectives. This information may be extremely useful when a major revision in the project scope or timing is being considered.

PREPARATION AND MODIFICATION:

1. When constructing an initial objective tree, rely on the logic and information contained in final project design and agreement documents. (The narrative column of Project Design Logical Framework should provide a summary of the objectives ordered in a hierarchical fashion.)
2. Where relations appear illogical or incomplete, discuss these with the responsible design and implementation officers.
3. Include all those objectives and relationships which are stated or implied by the project. (Unintended but probable consequences of the project may also be included by using a different marking procedure)

4. The lowest objectives that should be included in the tree are the Outputs of the USAID Project Design Logical Framework.
5. Indicate which set of Design Outputs will be treated as separate components for implementation purposes. Group components by applying one or a combination of the following criteria:
 - a. Where a single Output accomplishment has several interdependent activities.
 - b. Where Outputs use a similar USAID, AID or Host Country contracting mode.
 - c. Where Outputs appear to be the responsibility of one project officer.

Once the grouped components are identified, enclose them in a heavy lined box to denote a separate project component for implementation purposes. The project Implementation LogFrames and Performance Networks can then be keyed to the project objective tree.

6. Review the objective tree with involved project officers. Revise as required.

MODULE B. IMPLEMENTATION LOGFRAMESDESCRIPTION:

The Implementation LogFrame is a tool for displaying the hypothesized activities and events (both internal and external) which a project seeks to influence in order to achieve development objectives. The Implementation LogFrame differs from the AID Project Design Logical Framework in that it emphasizes the specific activities and areas of responsibilities of an USAID project officer during the implementation phase of an AID-financed project. (See Figure IIB-1)

IMPLEMENTATION USES:

1. Foster a clearly stated and precise description of the USAID activities that are to be undertaken for an AID-financed project to be implemented successfully and on time.
2. Clarify the "manageable interest" of USAID project officers responsible for implementing one or more project components.
3. Display key objectives and external conditions in terms of measurable performance criteria (quantity, quality and time). These criteria, when transferred to performance networks and/or bar charts, become the key events used in monitoring project performance and taking necessary corrective actions.

METHOD OF USE:

Implementation LogFrames are summary documents. As such they represent a convenient and concise way for organizing and displaying important implementation information. Their specific utility is that they

FIGURE II B-1: IMPLEMENTATION LOGFRAME FORMAT

PROJECT COMPONENT: _____

DRAFTED BY: _____

DATE: _____

OBJECTIVE	PERFORMANCE INDICATORS	DATA SOURCES	EXTERNAL CONDITIONS	PERFORMANCE INDICATORS	DATA SOURCES
<p>GOAL:</p>			<p>GOAL TO HIGHER GOAL</p>		
			<p>PURPOSE TO GOAL</p>		
<p>PURPOSE:</p>			<p>OUTPUT TO PURPOSE:</p>		
			<p>OUTPUTS</p>		
<p>ACTIVITIES:</p>			<p>ACTIVITY TO OUTPUT</p>		
			<p>ACTIVITIES</p>		
			<p>PRECONDITIONS</p>		

DEVELOPMENT HYPOTHESES

IF PURPOSE THEN GOAL

IF OUTPUTS THEN PURPOSE

MANAGEABLE INTEREST

IF ACTIVITIES THEN OUTPUTS

MONITORING AND INFLUENCING OF EXTERNAL CONDITIONS

MANAGEABLE INTEREST

focus management attention on the minimum set of activities and events that are necessary and sufficient for a project or a project sub-component to be implemented successfully and on time. Implementation LogFrames can therefore serve as an aid to detailed implementation planning and redesign. The project officers may wish to use or consult their tool for several different reasons.

1. In the detailed implementation planning phase of a project, the process of developing and refining an Implementation LogFrame can be very informative. Completing the LogFrame can benefit the project officer in several ways. First, the link between project design outputs (as represented on an Objective Tree or at the "Output" level of a Project Design Logical Framework Summary) and USAID project officer implementation activities is clarified. In doing this it becomes obvious that the implementation realm of a USAID project officer encompasses many routine, procedure-based activities concerned primarily with procurement, contract start-up activities, and project monitoring/control (See Section II. C. of this Manual for a module which explains these implementation routines and suggests how they can be dealt with to improve the USAID implementation process). A second benefit derived from developing the Implementation LogFrame is an increased awareness of the multiple activities and events that must occur for the project to accomplish its objectives, but that lie outside of the direct control of the USAID officer (These events are labeled External Conditions in the Implementation LogFrame). In this respect timely information about what other actors are doing takes on an increased importance during

implementation. The Implementation LogFrame provides a format for specifying what kind of information should be monitored during implementation -- the Performance Indicators columns -- and where this information can be obtained -- the Data Sources column. A third, and perhaps the most important, benefit derived from completing the LogFrame concerns the clarification of USAID project officer responsibilities. The LogFrame is formulated to indicate which activities fall into the "manageable interest" of the project officer. The USAID officer is responsible, and can be held accountable, for assuring that LogFrame Output objectives and USAID activities do occur. It is also in the officer's manageable interest to monitor and use every reasonable means possible to influence External Conditions at the Input to Output and Output to Purpose level. Clarifying "Manageable Interest" can go far in focusing an individual officer's attention on priority objectives and responsibilities.

2. Once an Implementation LogFrame is developed, it can be used in several ways. First, it serves as the starting point for developing other implementation tools. The information in the LogFrame forms the basis for constructing Performance Networks and Bar Charts. It also suggests items (from the External Conditions column) which should be included on the Early-warning and Back-up System Charts. Concurrently, the LogFrame facilitates the assignment of action responsibility in all subsequent implementation documents. A second use of the completed LogFrame is in giving detailed briefings on the project or in orienting new personnel. The completed forms also serve as a con-

stant reminder of the focus of project implementation responsibility and control.

PREPARATION AND MODIFICATION:

Implementation LogFrames are prepared from information in existing project implementation documents and from the knowledge base of on-board project officers. The LogFrame attempts to capture project or sub-project component intentions. A generic description of the kinds of information which should be included in the LogFrame is provided in Figure II. B-1. Some useful hints on preparing and modifying the LogFrame include:

1. As project priorities, objectives or circumstances change, there may be a need to develop LogFrames for additional project components or to revise and elaborate the current set. The usefulness of the tool for clarifying key USAID implementation activities and management responsibilities is a direct function of the currency and specificity of the information contained in LogFrames.
2. If a major change in the project priorities, strategies or external conditions occurs, the project officer should use existing LogFrames to assess how the change may effect the overall implementation of key project components. LogFrames should be updated to reflect these changes. The revised LogFrame should then be used to modify Performance Networks, Bar Charts, Contingency Plans and Monitoring/Reporting Plans.
3. Developing or revising an Implementation LogFrame usually benefits from a collaborative effort. USAID, Host Country and contract personnel who are directly involved in the implementation of a project component

should be involved in the preparation or modification process. Outdated LogFrames should be retained following revisions to record the evolution of USAID's implementation strategy. This information may become valuable during project reviews or special evaluations.

4. Officers responsible for various project components should have responsibility for reviewing and upgrading the LogFrames in their areas. One person in the Division, or the Mission, should be tasked to assist in this function.

MODULE C: PERFORMANCE NETWORKSDESCRIPTION:

A Network is a diagram which represents the activities necessary to complete a project. The activities are joined in a way that shows their sequence and interdependence. Major project milestones are identified on the diagram along with the performance indicators which demonstrate achievement of these milestones.

IMPLEMENTATION USES:

1. Networks are of particular use in planning the timing and execution of complicated sets of interdependent activities.
2. Networks assist project managers and project monitors to identify the activities which are most time urgent. They also clarify the effects on project implementation of a delay or shortfall in undertaking a particular activity.
3. Networks make graphically explicit the relationship between the actions of one person or organization and those of another. As such, they can greatly assist such individuals or organizations to coordinate their activities.
4. Performance Networks demonstrate the detailed linkages between inputs and outputs. They thus highlight the interim results that are necessary and expected if the project is to achieve its ultimate objectives. This provides a straightforward means of identifying a set of indicators to be monitored during the project.

METHOD OF USE:

This Manual uses networks in two ways. First, Performance Networks have been developed for the most complex components of ASSP. Secondly, Networks have been developed to clarify a number of standard USAID procedures and processes. In both cases, the estimated duration of each of the activities has been written directly under the activity description. Using these durations, the Network provides information on the total expected duration of the project and those activities which, if delayed, will delay the completion of the entire project (the critical path).

On the Performance Networks, the events of particular importance have been highlighted by an "X" drawn inside the relevant circle. Reference numbers have also been written inside each of these circles. These numbers correspond to numbers on a monitoring plan that identify which indicator(s) should be monitored at each point.

To make maximum use of the Networks:

1. Check the Performance Networks regularly as a reminder of what activities should be taking place to achieve a particular milestone. Look at the milestone and trace the lines backwards from it to identify the activities upon which it depends. If the activities with the longer durations have not been initiated, concentrate your management attention on them.
2. When the activities leading up to a milestone have been completed, check to see if the desired results have been achieved. To do this, consult the monitoring plan which will give you quantity, quality, date,

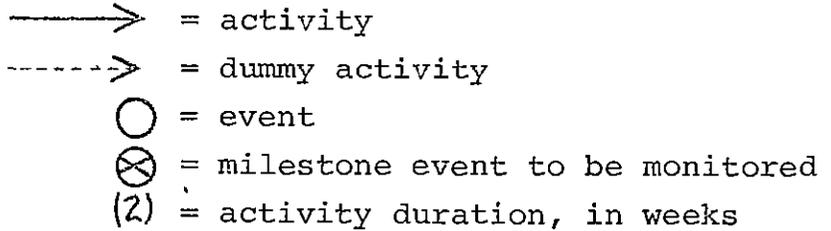
and cost expectations for the milestone. If accomplishments are less than expectations, notify someone and/or take direct action.

3. When an activity's commencement or duration changes from your original expectations, consult the Performance Network to assess the effects of this change on future activities and milestones. If the delayed activity is not on the critical path, its postponement may have no important implementation effects. If it is on the critical path, any postponement will delay the completion of the project.
4. When an activity fails to materialize, or the level of achievement is less than expected, consult the Performance Networks to discover the probable effects of this alteration on interim and ultimate project objectives. Where these effects are great, consult your Contingency Plan to identify alternative means of achieving your objective.
5. Performance Networks include activities by actors other than yourself. Consult the Network to identify those activities of others on which you are depending, and use the Network to calculate the time by which their contributing activity must be complete. Inform them of this deadline.
6. The Sub-routine Networks detail the steps involved in standard procedures and illustrate the interrelationships among these steps (see Sub-routines). They are used exactly like the larger Performance Networks and provide a valuable description of the activities involved in a given process or procedure.

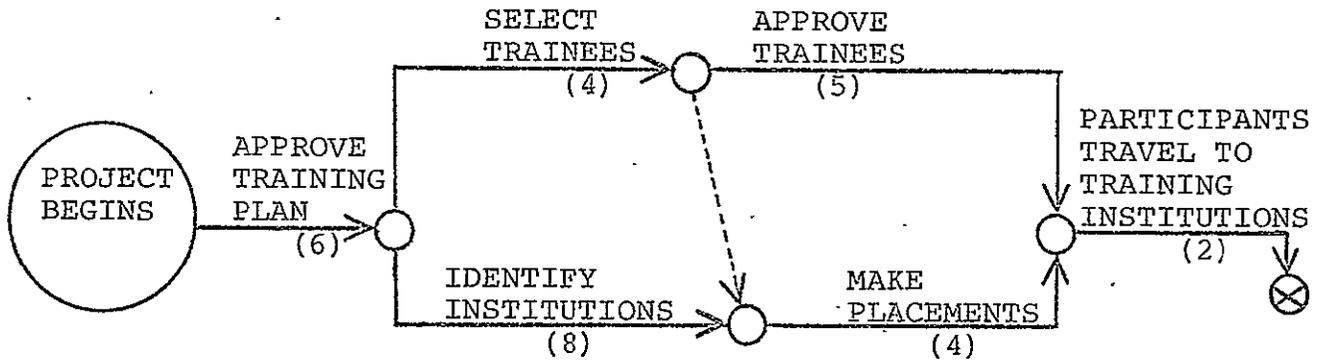
PREPARATION AND MODIFICATION:

1. The first, and most important, step in developing Performance Networks is to compile accurate and complete lists of all the activities required to produce the intended result. Theoretically, activities can be infinitely divided into smaller and smaller components. As a guide to the appropriate level of detail, disaggregate activities down to the point where you believe a procedure should end and personal style should begin. List those activities for which USAID is responsible in greatest detail. Include all important USAID activities, all Outputs from the Implementation LogFrame, and those actions of others or External Conditions which are strongly interdependent with USAID activities.
2. The next step is to think about the relationships among the activities. Which activities must precede others? Which could, at least theoretically, occur simultaneously? This suggests a logical sequencing of the activities which should be preserved and represented in the Network.

3. In drawing Performance Networks, several conventions are commonly used. The basic ones are:



EXAMPLE:



4. The path of longest duration through the Network is the Critical Path. If any of the activities on that Path are delayed, the overall project will be delayed.
5. Any Network is only as good as the information it incorporates. To be of use, these Networks must be updated whenever new information becomes available on the nature of project activities, the delay or acceleration of certain of these activities, or the modification of project targets and objectives. One or more members of staff should have responsibility for updating Performance Networks and Sub-routine Networks.

MODULE D. BAR/RESPONSIBILITY CHARTSDESCRIPTION:

A Bar/Responsibility Chart displays the schedule of key project activities and identifies the actor(s) responsible for their accomplishment. (See Figure IID-1). Each activity is represented by a bar that extends along a time scale. Activities are coded to identify offices or individuals with implementation responsibilities.

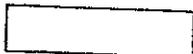
IMPLEMENTATION USES:

1. Project officers may use it to schedule activities and record actual progress against planned performance. Included in the chart are those activities over which the officer has direct control (as contained in the Activities box of the Implementation Logframe)', as well as key external conditions which are beyond the officer's direct control, but are essential to successful project implementation.
2. The chart identifies the specific office or individual responsible for implementing the activities.
3. It may be used to communicate the project implementation schedule to others and to identify milestones.
4. It may be used to indicate when individual activities should be monitored. In this regard, the Bar/Responsibility Chart provides a foundation for constructing the Monitoring/Report Plan and the Early-Warning and Back-Up System Charts.

Figure IID-1: BAR/RESPONSIBILITY CHART FORMAT

Project Activities	Time Schedule (months)						Responsible Action Agent
	1	2	3	4	5	etc.	
1. First Activity Planned Actual	[Activity Duration Bar from month 1 to 3]						1. Project Officer
2. Second Activity Planned Actual	[Activity Duration Bar from month 2 to 4] with a downward triangle at month 3						2. Deputy Minister
3. Third Activity Planned Actual	[Activity Duration Bar from month 3 to 5] with downward triangles at months 4 and 5						3. Project Officer
4. etc							

Legend:



= Activity Duration



= USAID Monitoring and Influencing Action

METHOD OF USE:

The primary output of a Bar/Responsibility Chart is a detailed project schedule and responsibility listing. The length of a bar indicates the duration of an activity and its position on the time scale indicates start and completion dates necessary to fulfill project plans.

1. The chart should be constructed to reflect the planned and actual accomplishment dates of each activity. (See Figure IID-1). By setting up the chart in this fashion, it can then be used to mark the progress of the project and adjust it as needed.
2. The listing of responsible actor agents included on the chart represents a fairly recent addition to the more conventional bar or "Contt" chart. This segment specifically identifies the organizational elements or individuals involved in getting the implementation job done. This is especially useful when the chart contains a large number of activities which are being carried out by individuals other than those within the officer's own organization. The latter activities would include all of the items on the chart down from the "External Conditions" column of the Implementation Logframe.

PREPARATION AND MODIFICATION:

The Bar/Responsibility Chart should be prepared in two stages. First, the key project activities should be agreed upon and scheduled. Following that, responsibilities should be assigned.

There are several steps involved in completing or modifying the activity schedule. These are discussed in summary fashion below.

1. Lay out the time dimension by marking the project duration in time units across the top of the chart. (Weeks, months, or quarters are commonly used project units).
2. List and number all of the key project activities down the left hand column. These activities should be drawn from the Implementation Logframes, the sub-routines, and/or the Performance Networks. Depending on the level of desired detail, either individual activities or activity clusters can be listed.
3. For each activity, leave ample space for drawing two bars--one for the planned schedule, and another for the actual time to be recorded when implementation takes place. Then draw a bar opposite the planned activity descriptions. The location and length of the bar will be determined by the intended start and finish time of the activity.

4. Indicate times when various key activities should be monitored by placing an inverted triangle above the bar corresponding to the calendar time when monitoring should occur.

Once the planned schedule is completed, the responsibility listing can be developed. This is done by following several easy steps.

1. Mark off a column at the extreme right hand side of the page and label it "Responsibility Listing."
2. For each activity indicate who has responsibility for assuring that the activity in question is carried out successfully and on time. Be precise as possible. For example, in addition to identifying an organizational unit such as the Agriculture Extension Department, also indicate the names of responsible individuals. Where responsibilities are shared, include each of the parties.

Bar/Responsibility Charts should be modified periodically at intervals of no longer than six months, and one individual should have responsibility for ensuring that these periodic revisions take place.

MODULE E. IMPLEMENTATION SUB-ROUTINESDESCRIPTION:

Sub-routines are modular descriptions of the steps and sequences involved in carrying out standard processes and procedures. They can be represented in several different formats depending on the nature of the activities, processes and procedures being described.

IMPLEMENTATION USES:

1. These tools should be used to ensure optimal sequencing and standardization of procedures. These include informal as well as formal procedures.
2. They should be used as orientation for new staff members and reminders to more experienced staff members.
3. They are useful as didactic tools in explaining AID processes and procedures to host country nationals.
4. If added to and amended over time, they are a systematic memory of the most effective and appropriate procedures for carrying out specific tasks. As such, they release project officers from the need to reinvent these procedures in each case and thereby free their time for more substantive activities.

METHOD OF USE:

Sub-routines can be represented in several ways. The most common, and those used in this Manual, are networks, bar charts, and checklists.

1. Sub-routine networks are especially useful where

the sequence of the activities in the sub-routine is of considerable importance and several of these activities can be undertaken simultaneously. They graphically represent the order, as well as the substance, of the activities to be undertaken.

- a. Sub-routine networks are "nested" within performance networks. Where they occur they are summarized by one or more activities, drawn in red on the performance network. Where you need to know the full set and sequence of activities, consult the appropriate sub-routine network.
- b. Sub-routine networks should be "read" like any other network (see the Performance Networks Module). Lines represent activities, circles represent events reflecting the initiation or completion of one or more activities, and dotted arrows denote "dummy activities" reflecting the dependence of one activity on another where the link between them consumes neither resources nor time. The figure in parentheses below each activity line represents estimates of the time required to complete that activity. Thus, where time is short, several activities can be undertaken simultaneously. Where subsequent events and activities depend on the completion of all these activities, attention should be first focused on the activities with the longest duration. For this process or procedure, consult the appropriate sub-routine network.

2. Sub-routine bar charts are especially useful where there are few if any complex inter-dependencies among the activities involved in the process or procedure and/or where many of the activities are "triggered" by the calendar rather than by other project activities. Periodic monitoring procedures are a common example.
 - a. Sub-routine bar charts are "nested" within Performance Networks. Where they occur, they are summarized by one or more activities drawn in blue on the performance network. Where you need to know the full set of activities, consult the appropriate sub-routine bar chart.
 - b. Sub-routine bar charts are "read" like any other bar chart (see the Bar/Responsibility Charts Module). Consult the calendar dates at the top of the page and read down to identify the activities which should be completed or be underway at a given time. Where activities are lagging, consult Implementation LogFrames, Performance Networks, Bar Charts and Early-warning and Back-up System Charts to find the probable implications of these delays.
3. Sub-routine checklists are especially useful where a number of activities are involved in a procedure where the sequence of activities is either linear or unimportant, and where the duration of each activity is not a matter of concern.
 - a. Sub-routine checklists are also "nested" within Performance Networks. Where they occur, they are summarized by one or more activities drawn in green on the performance network. Where

you need to know the full set of activities, consult the appropriate sub-routine checklist.

- b. When each of the activities on the sub-routine checklist is complete, it should be checked off on the list along with the date on which it was completed.

PREPARATION AND MODIFICATION:

1. The set of sub-routines included in this package is partial. As additional processes and procedures are defined in sufficient detail, further sub-routines - and elaborations of the current sub-routines - should be added. The usefulness of the tool is a direct function of the inclusiveness and currency of the information included in the sub-routines.
2. Where an officer develops an improved procedure or sequence for accomplishing a standard task, or is the first to comprehend a new AID procedure, he or she should first write down the steps involved as a list. As with all activity lists, the guideline for the appropriate level of detail is the specificity of instruction which it is useful and possible to give to those carrying out the tasks.
3. Decide, based on the criteria given above, whether a network, bar chart or checklist is the most effective way to display the process or procedure.
4. Construct the network, bar chart or checklist using the techniques explained elsewhere in this Manual.

5. Discuss the new sub-routine with your colleagues. After it has been modified and agreed upon, add it to the package of sub-routines. Where it replaces existing sub-routines, the old one should be deleted.
6. One member of the Division should have overall responsibility for maintaining and upgrading the package of sub-routines. Eventually, one person could exercise this function for the Mission as a whole.

MODULE F. MONITORING AND REPORTING PLANSDESCRIPTION:

Monitoring and reporting are two of the three pillars of a management information system -- the third being evaluation. Monitoring entails watching and influencing key activities and accomplishments; reporting entails telling someone about the project's achievements, problems or prospects; and evaluation entails explaining why things happened the way they did. In each case, information should be restricted to that required for decision-making and accountability.

A Monitoring and Reporting Plan is a systematic summary of the items to be actively watched and influenced and the items to be reported on. For each, it identifies: (a) the point in time at which the monitoring or reporting should take place; (b) the relevant indicators of progress or achievement; (c) the expected levels of accomplishment for those indicators at that point in time; (d) the best source of data to verify the indicators; and (e) the person to whom the report goes.

IMPLEMENTATION USES:

1. The Plan is very useful in integrating and streamlining the flows of project implementation information. It defines unambiguously what we need to know, when we need to know it, how we are to find it, and who is responsible for doing so.
2. By focusing attention on the information that is really needed, the Plan reduces information overload and helps to insure the right information gets to the right people at the right time.

FIGURE II F-1: MONITORING AND REPORTING PLAN FORMAT

PROJECT COMPONENT: 5. AFC Technical Assistance (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	Progress of COK in meeting conditions	all conditions met	COK, AFC budgets, records	
PIL and RFP approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
High quality contracts signed by COK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specifications of objectives, evaluation criteria	GOK contract	
Informal project environment checked	E	continuously through contract activities	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Contractor progress checked	P	every 6 months	comparison of actual to planned activities	technical assistance is timely and appropriate to AFC needs	Contractor reports AFC records	
Expenditure of funds checked	P	quarterly through contract activities	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	every 6 months	availability of logistic support, trainees, AFC cooperation, budget support	timely provision of resources, trainees, institutional support	AFC budgets, records, Contractor reports	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	AFC receives 168 WM of technical services geared to institutional training needs	Contractor final report AFC records	
Evaluation of TA in AFC	E	6 months after contract period ends	degree of change in AFC capability	financial management and personnel operations and training strengthened and broadened	AFC records	
Evaluation of AFC	E	January, 1985	degree of change in institutional capability	25% increase in AFC loans		

3. The Plan, once accepted, becomes an agreement between people at various levels of the organization about the nature, frequency and substance of information flows. It permits much conventional reporting to be dispensed with, retaining "exception reporting, i.e. reports made only when expected activities and objectives are not achieved as expected.
4. The Plan allows USAID to schedule monitoring and reporting responsibilities so as to achieve economies of scale and avoid placing unrealistic information processing burdens on any one individual.

METHOD OF USE:

USAID project implementation officers need two different kinds of monitoring information. First, a large amount of formal information is required for tracking planned project performance (via the use of established quantify, quality, and time targets). The Monitoring Plan can be used to identify and display which items should be formally monitored on either a periodic or episodic basis. The Monitoring Plan is explicit with respect to formal tracking information and available data sources from which information should be gathered.*

The gathering of this information often requires going to the field for site visits and discussions with project and government personnel.

* Methods of data collecting relevant to USAID-financed projects are discussed in the AID/PPC document, Manager's Guide To Data Collection, July 1979, prepared by Practical Concepts Incorporated.

A second kind of monitoring information is more in-formal in nature. Informal information on existing and changing conditions in the internal and external project environment is required for anticipating implementation difficulties and taking appropriate corrective action. The Monitoring Plan is only marginally useful for identifying and gathering the more informal type of information. There is no simple formula for monitoring this kind of information. The best mechanism we know is to maintain contacts with key personnel, to hold regular meetings with officials important to project success, and to assemble working groups when problems arise.

The specific ways the Monitoring and Reporting Plan is used are discussed below.

1. Plan contains information gathered from the Implementation LogFrames, the Implementation Bar/Responsibility Charts, the Sub-routines, the Performance Networks and the Early-warning and Back-up System Charts. It summarizes the monitoring and reporting tasks identified in these documents, and should be used in conjunction with them.
2. Each project officer should consult the Monitoring and Reporting Plan to identify what items or milestones to watch, when they are to be watched, where to find the information, and what kind of report, if any, to file.
3. Some monitoring tasks are periodic, i.e. they occur at prescribed times or intervals, irrespective of project activities or achievements. Others are episodic, i.e. keyed to the completion of various

activities or the achievement of various objectives. The former can be scheduled well in advance with relative certainty. The timing of episodic monitoring is, by its nature, less certain.

4. The reporting requirements noted in the Plan refer to the reports to be written by project officers. Reports received by USAID officers from contractors, government officials and others constitute data sources for meeting monitoring requirements.
5. The Plan distinguishes three types of reports; exception reports, achievement reports, and regular reports. Exception reports are filed when something expected, and important, fails to occur or is likely to do so. Achievement reports announce the achievement of an expected and important result. Periodic reports track activities, expenditures or achievements at pre-determined times. As a general rule, achievement and/or exception reports should be substituted for periodic reports wherever circumstances permit.

PREPARATION AND MODIFICATION:

1. Items and milestones to be monitored are drawn from the Implementation LogFrames, Bar/Responsibility Charts, Sub-routines, Performance Networks and Early-warning and Back-up System Charts. On the LogFrames, they represent the major performance indicators at the Output and Purpose level in addition to the indicators for the external conditions affecting the Activity-to-Output and Output-to-Purpose linkages. The other Charts and Networks

also identify a number of important interim items and milestones. Watching and influencing these interim activities improves the prospect of achieving LogFrame Output and Purpose level objectives and provides an Early-warning System when these objectives are in danger of not being met.

Where these interim activities and milestones are both important and uncertain they should be added to the list of items to be monitored.

2. As with other implementation system tools, the Monitoring and Reporting Plan must be regularly reviewed and updated. Completed monitoring responsibilities and terminated project components should be deleted; changes in indicators, targets and data sources should be recorded; and changes in reporting requirements and responsibilities should be noted. One staff member should assume primary responsibility for ensuring that this updating occurs at least twice a year.

MODULE G. EARLY-WARNING AND BACK-UP SYSTEM CHARTSDESCRIPTION:

An Early-warning and Back-up System Chart displays:
(1) anticipated implementation problems; (2) Early-warning indicators for each of the problems; and
(3) possible ways of dealing with the problem if it occurs. The completed Chart represents a project - specific application of the "Contingency Planning" technique.

IMPLEMENTATION USES:

1. Identifies important problems that project officers believe -- based upon their experience and knowledge -- are in danger of occurring.
2. Focuses management attention on the development and use of Early-warning problem indicators. These indicators should be included in the project Monitoring and Reporting Plan.
3. Serves as a worksheet for thinking through appropriate responses to potentially serious problems at an early stage in their development.

METHOD OF USE:

The Early-warning and Back-up System Chart should be used from the beginning to the end of the project implementation process. From the time that the first project implementation agreement is signed, USAID project officers should have an eye out for likely problems and for low-cost, quick-response resolutions. The Early-warning and Back-up System Chart provides a standardized and systematic way of keeping informed of potential implementation difficulties.

FIGURE II G-I: EARLY-WARNING AND BACK-UP SYSTEM CHART FORMAT

PROJECT: Illustrative Technical Assistance SUB-PROJECT: Contracting DATE: _____

A	B	C	D
<p>Key Project Activity (from Bar/Responsibility Chart or Performance Network)</p>	<p>Anticipated Implementation Problem(s) (what are likely deviations from plan?)</p>	<p>Early-warning Indicator(s) (how can problem be detected early-on?)</p>	<p>Back-Up Response(s) (what can be done to deal with problem early-on?)</p>
<p>1. Technical Assistance Contract successfully negotiated by July 1980</p>	<p>Negotiations will not be completed until January 1981</p>	<p>Contract Scope-Of-Work should be started by USAID and host country officials by November 1979</p>	<p>a) If Scope-Of-Work not started by November 1979, free-up one person to work full-time on it b) Call for TDY assistance on Scope-Of-Work</p>
<p>2. Contractor arrives at work-site within 1 month of contract signing</p>	<p>None detected</p>		
<p>3. Etc.</p>			

The project officer can use the Chart in three ways. By referring to Columns A and B, information can be gained on likely and important problems areas to which the project officer will want to devote a significant portion of time (See Figure II G-1 for the Chart format). The second use is in keeping a handy record of important "Early-warning indicators". The project officer will want to periodically check to assure that Early-warning information is being properly collected and distributed. Column C will facilitate this effort. Finally, when a problem does occur, the project officer can refer to Column D to see if a previously thought-out and agreed to response exists. Having access to such information can substantially reduce the response times, especially where new personnel or complex actions are involved.

PREPARATION AND MODIFICATION:

Early-warning and Back-up System Charts should be prepared in conjunction with or following the preparation of Performance Networks, Bar/Responsibility Charts, and the Monitoring/Reporting Plan. The Charts should be modified periodically and also following important implementation revisions. The procedures for preparing and modifying each column of the Chart are explained below.

1. Column A: "Key Project Activity" In this column the project officer should list the most important activities from the project or sub-project component covered by the Chart. "Important" activities may include those that fall on the "critical path" of the Performance Network or those that must be completed before a large number of follow-on activities can begin. The judgement of experienced professionals is another source of information for

making this determination. (Refer to Figure II G-1 for an example).

2. Column B: "Anticipated Implementation Problem(s)"
This is where potential problems related to the successful completion of Column 1 activities are listed. Problems may be characterized by an expected divergence between planned and actual completion dates as listed in the Bar/Responsibility Chart. They may also involve performance or cost deviations from planned targets. Instances of anticipated early activity completion, cost savings, and performance over achievement should also be noted, as they represent opportunities for making up lost time or improving implementation performance in other areas or projects. Pay highest attention to those problems which are most likely to occur.
3. Column C: "Early-warning Indicator(s)" This column and those following need only to be completed where activity problems are anticipated and the problems are potentially very important. In these cases, pose the question: "How can the problem be detected very early-on?" Answers may be derived from a review of the Implementation LogFrames, Sub-routines, Performance Networks, or Bar/Responsibility Charts. However, in many instances the existing Implementation System products will not have adequately dealt with this issue. Therefore, the project officer will need to trace back the activity to an early stage and identify a suitable indicator. (See Figure II G-1 for an example). Once an early warning indicator,

and a means of monitoring it, is identified, the Monitoring/Reporting Plan should be revised to include the element. Since the monitoring date and person to receive the monitoring report are key to timely and effective implementation response, they should be clearly demarcated in the Plan.

4. Column D: "Back-up Response(s)". If a problem is detected early-on, the next consideration is what special actions may be required to deal with it before it becomes severe and seriously disrupts implementation. Completing this column is the task of an experienced project officer who has a grasp of available and appropriate problem-solving options. (See Figure II G-1 for an example).

CHAPTER III: USAID INSTALLATION OF THE ASSP IMPLEMENTATION SYSTEM

This chapter presents the ASSP implementation system developed during PCI's initial consultancy and describes how the system can be used to manage both the overall project and the individual sub-project components.

A. INSTALLATION CONSIDERATIONS

When the implementation consultancy began in August 1979, the ASSP effort had been underway for one year. Our review of the implementation schedule contained in the ASSP Project Paper (PP) Annexes indicated that the project was off to a slow start. Several of the sub-project components scheduled to begin in the year following the project agreement were yet to be initiated. Others expected to be operational by this date were still in the contracting or start-up stage.

From talking to USAID/Kenya personnel and reviewing various implementation documents, our impression of the reasons for the slow ASSP start were:

- . Underestimates of the time and effort involved in properly staffing the USAID/Kenya Mission to handle the fourteen ASSP components;
- . Inability on the part of the Government of Kenya (GOK) to quickly meet the conditions precedent and provide timely support to the various ASSP activities;
- . Misunderstandings of the actual USAID personnel time involved in executing various contracting and start-up tasks;

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- . Misinformation with respect to the lead-time and difficulties involved in contracting procedures, especially for central AID and host country contracts;
- . Untenability of a few key assumptions made at the time the Project Agreement was signed; and
- . Lack of sufficient management attention to the timely implementation of those ASSP components which were on the "critical path".

The Implementation System presented here is designed so that the USAID Agriculture Division can assist the GOK to successfully carry out ASSP in the remaining five and one-half year time span. The system we recommend for installation and continued use rests on two project implementation premises:*

- . An Implementation System should first and foremost orient project officers toward higher-order project objectives and not, as it is commonly believed, toward the singular accomplishment of pre-planned and scheduled day-to-day activities.
- . Due to the constant changes -- personnel, procedural, organizational, physical -- which occur in the project environment, detailed scheduling, tasking, and contingency planning have more value for the near term than for the longer run. Over the life of a project, what is most necessary for successful implementation is a responsive feed-back and decision making system.

* These premises are more fully developed in the PCI Project Director's report to AID on Implementing Development Programs: A State-of-Art-Review, DS/RAD, January 1979.

The integrated system developed for the ASSP effort explicitly incorporates these premises: (1) by displaying how the individual components are related to higher order objectives, as well as to one another; (2) by providing a detailed account of how the project personnel should move toward the accomplishment of these objectives over the next year; and (3) by proposing the use of a monitoring system for both tracking and replanning various activities. Throughout, we have attempted to design a system which will serve the dual purpose of allowing for the management of the overall project implementation effort, while directing the execution of activities within individual project components. Where possible we opted for the simplest and most practical technique -- a decision which often required the revision of common techniques taught in management seminars. Finally, from the outset, we followed our belief that the system user should play a major role in developing the system products. Thus, we attempted to involve ASSP personnel at every stage of the design and installation process.

B. MANAGING THE OVERALL PROJECT

Several elements of the Implementation System are especially relevant for managing the entire ASSP effort. The characteristics that make these particular elements more relevant include:

- . Their broad and comprehensive scope;
- . Their clear display of how the various components interrelate; and
- . Their overall indication of the USAID workload requirements for completing the project successfully and on time.

Each of these system elements is introduced and briefly discussed below.

1. ASSP Objective Tree (See Figure III B-1 in the packet of Manual support materials)

This Objective Tree graphically depicts the interrelated set of ASSP objectives as presented in project design documents. It shows how the 14 major ASSP implementation components are positioned vis-a-vis each other and higher order objectives. Each of these components is numbered and each retains this number as its identifier on other system charts and diagrams. Thus, the Objective Tree serves as the master integration tool. Instructions on the Objective Tree implementation uses and modification procedures are contained in Module A. of Chapter II.

2. Master Physical and Financial Implementation Bar Chart (See Figure III B-2 in the packet of Manual support materials)

This chart shows the Agriculture Division's schedule for ASSP's physical and financial implementation as of 15 September 1979. It reflects the current understanding of USAID, ASSP personnel, GOK ASSP project related officials, and contract employees as to when key project activities should be started, phased and completed. This chart provides a quick overview of planned versus actual project accomplishments. Its prime utility for the project officer, however, is that it precisely indicates both when the USAID Contracting and Start-up Sub-routines should be completed and when the Monitoring and Control Sub-routines should be invoked. For the less complex ASSP components, this Chart plus the various Sub-routines (with their respective completion times) provide sufficient knowledge for scheduling

USAID activities. The more complex ASSP components require a Performance Network and a detailed Bar Chart in addition to the Sub-routines. For this reason we have developed and included Bar Charts and Networks for the most complex components -- Egerton College and Kiboko Range Research.

This Master Chart also contains a section to reflect planned versus actual project expenditures. The information for monitoring this useful performance indicator is contained in the new Controller project expenditure report.

3. USAID Implementation Bar Chart (See Figure III B-3 in the packet of Manual support materials)

The USAID Implementation Chart is keyed to the specific implementation activities undertaken by the USAID office itself. It indicates the times at which USAID activities (contracting, start-up, monitoring and control) associated with each ASSP component must start and finish to keep to the Master Physical and Financial Bar Chart schedule. In this sense, the physical implementation of the various ASSP components determines USAID's implementation programming. USAID's internal contracting, procurement, monitoring and other implementation workload can be derived by examining the chart. This analysis can indicate staffing and other resource requirements for successful implementation; alternatively, it may suggest the existence of unrealistic physical implementation expectations. Where difficulties such as these arise, it provides USAID management with two options -- either increase staffing/resources at critical times or consider changes in the physical implementation schedule.

This Chart, in conjunction with the Master Physical Implementation Chart, also assists with the allocation of scarce USAID manpower resources among competing demands. It

does this by indicating which components have available "slack" or "float" time (i.e., they are not pacing factors for the overall successful completion of the project) and, therefore, can be delayed for some period of time without delaying the overall project completion date.

4. Implementation Sub-routines

In developing the ASSP implementation system, we isolated and validated seventeen specific sub-routines: six networks dealing with various modes of contracting; five networks dealing with activity start-up and mobilization; five bar charts dealing with monitoring and control of project operations; and one checklist dealing with planning for the arrival of TA or study teams. (See Figure III B-4 for a complete listing of the Sub-routines. Each is included in the packet of Manual support materials.) We then calculated the "critical path" for the Contracting and Start-up Network Sub-routines. These "critical path" calculations, which represent the approximate amount of time it takes to complete the various routines, are presented in Figure III B-4. The use of these Sub-routines in managing the overall project is discussed above in Section III B-2 and 3 and in Chapter II, Module C, Sub-routines.

C. MANAGING THE SUB-PROJECT COMPONENTS

The USAID officer responsibilities for implementing individual ASSP components are identified on the USAID Implementation Chart. (See Figure III B-3.)

Given the complexity of the ASSP and the personnel constraints of the Agriculture Division, it is necessary to group several project components within the management purview of a few project officers. From an implementation perspective, there are three discernible bases for grouping

Figure III B-4 : USAID SUB-ROUTINES

A. CONTRACTING SUB-ROUTINES:

1. Contracting for Technical Services and Training under Host Country Contracts (See Figure SRC-1.)
2. Contracting for Commodities under Host Country Contracts (See Figure SRC-2.)
3. Contracting for Civil Works under Host Country Contracts (See Figure SRC-3.)
4. Contracting for Technical Services and Training under USAID Contracts (See Figure SRC- 4.)
5. Contracting for Commodities under USAID Contracts (See Figure SRC-5.)
6. Contracting for Technical Services under AID Contracts (See Figure SRC-6.)

B. START-UP SUB-ROUTINES:

1. Mobilization of Technical Assistance and Studies under Host Country Contracts (See Figure SRS-1.)
2. Mobilization of Participants under Host Country Contracts (See Figure SRS-2.)
3. Mobilization of Technical Assistance under USAID/ AID Contracts (See Figure SRS-3.)
4. Placement of USAID Non-Contract Participants (Standard Academic Participants) (See Figure SRS-4.)

5. Preparation and Completion of Inception Reports under Host Country or USAID Contracts (See Figure SRS-5)

C. MONITORING AND CONTROL SUB-ROUTINES:

1. Monitoring and Control of Technical Assistance under Host Country Contracts (See Figure SRM-1)
2. Monitoring and Control of Overseas Academic Training under Host Country Contracts or USAID Non-Contract Procedures (See Figure SRM-2.)
3. Monitoring and Control of Studies under Host Country Contracts (See Figure SRM-3.)
4. Monitoring and Control of Technical Assistance under USAID/AID Contracts (See Figure SRM-4.)
5. Monitoring and Control of Studies under USAID/AID Contracts (See Figure SRM-5.)

D. CHECKLIST SUB-ROUTINES:

1. Planning Checklist for Study Team Arrival (See Figure SRCH-1.)

Figure SRCH-1: SUB-ROUTINE CHECKLIST

PLANNING FOR STUDY TEAM ARRIVAL

<u>ACTIVITIES</u>	<u>COMPLETED</u>	<u>DATE</u>
1. Make hotel arrangements	_____	_____
2. Send concurrence to AID on Study Teams arrival date	_____	_____
3. Identify GOK contacts, set up meetings, & confirm readiness of GOK support input	_____	_____
4. Arrange for airport pickup	_____	_____
5. Set up meetings with key USAID officials.	_____	_____
6. Submit names of team & ETA for weekly bulletin.	_____	_____
7. Identify key USAID host (responsible person)	_____	_____
8. Arrange office space	_____	_____
9. Prepare orientation packet to include:		
a. GOK protocol	_____	_____
b. GOK meeting schedule	_____	_____
c. Project background documents	_____	_____
d. USAID meeting schedule	_____	_____
e. Travel & up-country arrangements	_____	_____
f. Banking & airline facilities	_____	_____
g. Security precautions & emergency procedures	_____	_____
h. Health precautions & evacuation procedures	_____	_____
10. Discuss/review scope of work with study team	_____	_____
11. Agree on terms & schedule for submission of draft & final report	_____	_____

FIGURE III B-4: SUB-ROUTINE NETWORK CRITICAL PATH DURATIONS

<u>ITEM</u>	<u>TYPE OF CONTRACT</u>	<u>DURATION</u>
<u>Contracting</u>		
Technical Assistance and Studies	HCC	9 Months with competitive bidding
Technical Assistance and Studies	USAID	9 months with competitive bidding
Technical Assistance and Studies	AID	9 1/2 months with competitive bidding; 2 months with IQC.
Civil Works	HCC	21 months for large contracts; 9 months for small contracts
Commodities	HCC	10 1/2 months + 6 months delivery for medium sized procurements
Commodities	USAID	7 months + 6 months delivery for small to medium sized contracts
<u>Start-Up</u>		
Inception Reports	HCC/USAID	2 1/2 months
Technical Assistance and Studies	HCC	3 months; 1 month for short-term studies or TA teams with 3 or less members
Technical Assistance and Studies	USAID/AID	3 months; 1 month for short-term studies or TA teams with 3 or less members
Oversees Academic Participants	HCC	4 1/2 months
Overseas Academic Participants	No Contract	9 months

project components and assigning responsibilities:

- . Implementation Interdependencies: Where elements or components are jointly required for implementation purposes or to achieve a common objective, there is a strong argument for giving one officer primary responsibility for them.
- . Procedural or Skill Requirements: Where various activities, elements or components require the same professional skills and/or procedures, expediency, quality and economy of scale considerations mitigate in favor of assigning responsibility for these items to a single officer.
- . Host Government Liaison: Where various elements or components require significant contact with a single host government organization, and with the same individual(s) within that organization, an implementation basis exists for making one USAID officer primarily responsible for those activities.

Two further considerations affect the allocation of ASSP responsibilities within the Agriculture Division. First, there is a need to balance workload among the various Project officers. This requires taking account of officers' responsibilities to other projects as well as the level of effort required to manage the various ASSP components. And second, extra personnel resources should be devoted to those activities which are most urgent and/or most important.

For implementation planning purposes, we have itemized project components in a form roughly corresponding to the current Project Specific Inputs (PSIs).

Based on the criteria noted above, we have suggested rough allocation of implementation responsibilities for the ASSP components (See Figure III C-1). Although we have suggested that one officer assume primary responsibility for each group of components, we assume that officers will work as sub-teams wherever it is helpful to do so.

FIGURE III C-1: ASSP PROJECT RESPONSIBILITIES

<u>Project Component</u>	<u>Suggested USAID Manager</u>
1. MOCD Training Fund	Fred Holmes
2. Cooperatives TA	" ?
3. Cooperatives Training Studies and College	Fred Holmes
4. AFC Training	Fred Holmes
5. AFC TA and In-Service Training	Charles Hash
6. Grain Storage Study	Charles Hash
7. Grain Storage Training	Fred Holmes
8. University of Nairobi Study	Fred Holmes
9&10. Egerton Civil Works, TA, and Training	Dave Christenson
11. Coast Institute Study	Fred Holmes
12. MOA Training Fund	Fred Holmes
13. Kiboko Range Research	Charles Hash
14. Evaluation	Dave Christenson or Don McClelland
Overall Project Direction and Financial Control	Dave Christenson

Two provisions are necessary. First, the expected introduction of additional personnel with ASSP management responsibilities obviously has significant implications for the shifting of project workloads. And secondly, we are acutely aware of the limitations of our knowledge with respect to the personal preferences and capabilities of ASSP project personnel. We therefore intend our suggested responsibility allocations to be very tentative and subject to change.

In the remainder of this Chapter, we list the Implementation System documents that are relevant for managing each ASSP component. The USAID project officer who has responsibility for managing one or several components can use these lists to pinpoint the documents which are most useful. Procedures on the use and modification of the system products are explained in detail in Chapter II.

ASSP COMPONENT 1: MOCD Training Fund

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRS-4, SRM-2
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 1. MOCD Training Fund (No Contract) (See also Component 2)

SEPTEMBER, 1979

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ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met for overseas and in-service training	E	before activities begin	progress of GOK in meeting conditions precedent	all conditions met	MOCD budgets, reports	
Approved candidates complete information sheets	P	initial activity for each cohort	completeness of information sheets	timely and complete sheets	USAID records	
Notification of Office of International Training (DS/OIT)	P	upon receipt of complete information sheets from cohort		timely notification	USAID records	
Final PIO/P's signed	P	prior to departure data, allowing for processing time and placement	signature of officials	timely authorizations by AFC, COK Director of Personnel, Ministry of Finance	USAID records	
Placement of trainees achieved	P	prior to beginning of scheduled academic year	match of trainee request to placement position	all trainees placed as appropriate	DS/OIT reports	
Informal project environment checked	P	continuously through training operations	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
AFC support provided	P	every 6 months during training period	availability of AFC trainees, Logistic support, trainee salaries and professional positions	timely provision of support and job incentives	AFC budgets Trainee evaluations	
Completion of training	E	end of training period	degree to which trainees have fulfilled obligations	all trainees complete studies and return as scheduled	DS/OIT reports	
Evaluation of training impact in AFC	E	6 months after training completed	degree of change in AFC institutional capability	improvement in AFC employee performance	AFC records	
Evaluation of AFC operations	E	January 1985	number of AFC loans	25% increase	AFC records	

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ASSP COMPONENT 2: COOP Technical Assistance

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-4, SRS-3, SRM-4, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 2. COOP Technical Assistance (USAID Contracting) (See also Component 1)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions precedent	all conditions met	MOCD budget reports	
PIO/T and RFP approved	E	before proposals requested	timely approval by AID		USAID records	
Quality Contract Signed	E	after negotiations	specificity of deliverables as to quantity, quality, time, cost	have contract objectives clearly defined	contract	
Informal Project Environment checked	P	continuously through entire component operations	attitude of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement and Contractor progress checked	P	every 6 months through contract period	comparison of planned to actual activities	meet plan objectives	contractor reports, MOCD annual PER's	
Expenditure of funds checked	P	monthly through contract period	contractor estimates of monthly expenditures	funds spent as specified	contractor reports	
GOK support checked	P	every 6 months through contract period	availability of trainees, institutional and logistic support	timely provision of support, cooperation	MOCD semi-annual reports, contractor reports	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	timely, quality TA appropriate to Kenyan situation and contract specs.	final report	
Evaluation of TA impact on MOCD	E	6 months after end of contract period	degree of change in MOCD internal operations	improvement in MOCD institutional capability	MOCD records	
Evaluation of MOCD performance in reaching smallholders	E	January, 1985	number of smallholders holding membership in co-ops	15% increase	MOCD records	

ASSP COMPONENT 3: COOP Training Studies and College

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III.B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-4, SRS-3, SRM-4, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 3. Coop Training Study And College Study (USAID Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before contract begins	progress of GOK in meeting conditions precedent	all conditions met	GOK budgets and official reports	
PIO/T and RFP approved		before proposals requested	timely approval by AID		USAID records	
Quality contract signed	E	after negotiations	specificity of deliverables as to quantity, quality, time, cost	have contract objectives clearly defined	Contract	
Informal project environment checked	P	monthly through entire component operations	attitudes of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement, and Contractor progress checked	P	monthly during contract period	comparison of actual activities to be planned	meet plan objectives	contractor monthly reports	
Expenditure of funds checked	P	quarterly during contract period	reimbursement vouchers	funds spent as specified	contractor monthly reports	
MOCD provides counterpart study team and necessary	P	within month of contract being signed, then every 6 months	availability of GOK counterparts, logistic, financial and policy support	GOK provides timely study team counterparts	contractor reports MOCD reports	
Education Evaluation study completed	E	end of contract period	degree to which contractor has fulfilled obligations	high quality, useful study	contractor final report	
Academic and Engineering studies complete	E	end of contract period	degree to which contractor has met contract obligations	high quality useful study	contractor final report	
Evaluation of study use in MOCD	E	6 months after contract period ends	degree to which MOCD responds to and incorporates study findings	MOCD supports expansion program	MOCD reports	
USAID revises P.P. to facilitate funding of MOCD expansion	E	8 months after contract period ends	degree of continued AID support	interest maintained	AID records	

ASSP COMPONENT 4: AFC Training

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRS-4, SRM-2
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

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MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 4. AFC Training (no contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions	all conditions met	AFC records budgets	
Approved Candidates complete information sheets	P	initial activity for each training cohort	completeness of information sheets	timely and complete sheets received	USAID records	
Notification of Office of Informational Training (DS/OIT)	P	upon receipt of complete information sheets from cohort		timely notification	USAID records	
Final PIO/P's signed	P	prior to departure date, allowing for processing time and placement	signatures of officials	timely authorizations by AFC, GOK Director of Personnel, Ministry of Finance	USAID records	
Placement of trainees achieved	P	prior to beginning of scheduled academic year	match of trainee request to placement position	all trainees placed as appropriate	DS/OIT reports	
Informal project environment checked	P	continuously through training operations	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
AFC support provided	P	every 6 months during training period	availability of AFC trainees, Logistic support, trainee salaries and professional positions	timely provision of support and job incentives	AFC budgets Trainee evaluations	
Completion of training	E	end of training period	degree to which trainees have fulfilled obligations	all trainees complete studies and return as scheduled	DS/OIT reports	
Evaluation of training impact in AFC	E	6 months after training completed	degree of change in AFC institutional capability	improvement in AFC employee performance	AFC records	
Evaluation of AFC operations	E	January, 1985	number of AFC loans	25% increase	AFC records	

ASSP COMPONENT 5: AFC Technical Assistance/Training

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-1, SRS-1, SRM-4, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 5. AFC Technical Assistance (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	Progress of GOK in meeting conditions	all conditions met	GOK, AFC budgets, records	
PIL and RFP approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
High quality contracts signed by GOK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specifications of objectives, evaluation criteria	GOK contract	
Informal project environment checked	E	continuously through contract activities	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Commencement and Contractor progress checked	P	every 6 months	comparison of actual to planned activities	technical assistance is timely and appropriate to AFC needs	Contractor reports AFC records	
Expenditure of funds checked	P	quarterly through contract activities	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	every 6 months	availability of logistic support, trainees, AFC cooperation, budget support	timely provision of resources, trainees, institutional support	AFC budgets, records, Contractor reports	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	AFC receives 168 WM of technical services geared to institutional training needs	Contractor final report AFC records	
Evaluation of TA in AFC	E	6 months after contract period ends	degree of change in AFC capability	financial management and personnel operations and training strengthened and broadened	AFC records	
Evaluation of AFC	E	January, 1985	degree of change in institutional capability	25% increase in AFC loans		

ASSP COMPONENT 6: Grain Storage Study

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials:

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-6, SRS-3, SRM-4, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 6. Grain Storage Study (AID Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
For first 7 items to be monitored, see Monitoring and Reporting Plan for Component 3. COOP Training Study and College Study, replacing MOCD with MDA						
Study completed	E	end of contract period	degree to which contractor has met obligations	timely, high quality, useful study appropriate to Kenyan situation . . .	Contractor final report. MOA evaluations	
Evaluation of Study Use in MOA	E	6 months after contract period ends	degree to which MOA operations reflect study findings	improved grain storage ability of extension staff	MOA records, reports	
Evaluation of MOA performance	E	January, 1985	number of grain storage contacts with small holders	15% increase by 1985	MOA records	

ASSP COMPONENT 7: Grain Storage Training

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

<u>ASSP Implementation Documents</u>	<u>Relevant for managing this ASSP component</u>	<u>Location in Manual</u>
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRS-4, SRM-2
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		
<u>Comments on Method of Use:</u>		

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 7. Grain Storage Training (No Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
For first 8 items to be monitored, see Monitoring and Reporting Plan for Component 4. AFC Training replacing AFC with MOA						
Evaluation of training on MOA	E	6 months after training completed	degree of change in MOA grain storage capability	improve performance of Extension personnel in area of grain storage	MOA reports Trainee evaluations	
Evaluation of MOA operations in grain storage	E	January 1985	number of grain storage extension contacts with small holders	increase 15%	MOA records	

ASSP COMPONENT 8: University of Nairobi Study

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-1, SRS-1, SRM-3, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		
<u>Comments on Method of Use:</u>		

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 8. University of Nairobi Study (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	degree to which GOK has met conditions	all conditions met	GOK budgets records	
RFP, PIL approved	E	before GOK requests proposals	timely approved by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
High quality contract signed by GOK	E	prior to contact period	description of contract deliverables, contract monitoring system	clear specification of objectives, evaluation criteria	GOK contract	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Commencement and Contractor progress checked	P	every 3 months during contract period	comparison of planned to actual activities	study activities proceed as planned	contractor reports	
Expenditure of funds checked	P	every 3 months during contract period	GOK reimbursement claims	funds spent as specified	GOK quarterly reimbursement reports	
University of Nairobi study completed	E	end of contract period	degree to which contractor has met obligations	high quality, comprehensive study of academic and physical expansion of Faculty of Agriculture, Nairobi University, as specified	contractor final report study findings	
Evaluation of Use of Study	E	6 months after study completed	degree to which study findings have been incorporated into University of Nairobi Plans	funding sources sought for study recommendations	University of Nairobi budgets, records	

ASSP COMPONENT 10: Egerton Works, T.A. and Training

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	
Performance Network	X	
Component Bar/Responsibility Chart	X	
Implementation Sub-Routines	X	SRC-1, SRC-2, SRC-3, SRS-1 SRS-2, SRS-5 SRM-1, SRM-2 SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart	X	

Comments on Method of Use:

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions	all conditions met	GOK budgets, records	
PIL's and RFP's approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
Procurement awards reviewed and approved	E	prior to GOK signing of commodity contracts	contract contents: commodity lists, standards schedules and costings	complete and detailed specifications	GOK contract	
High quality contracts signed by GOK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specifications of objectives, evaluation criteria	GOK contract	
Informal project environment checked	P	continuously through contract activities	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Issuance of PIO/P's	P	prior to departure of overseas trainee cohort	completeness of information on trainees	timely preparation and approval of PIO/P's	USAID records	
Overseas training begun	P	upon completion of placement, travel of each cohort	number of trainees attending institutions	all scheduled trainees beginning studies	SECID reports	
SECID progress checked	P	TA: every 6 months and annually	comparison of actual to planned activities	technical assistance is timely and appropriate to Egerton needs	Contractor reports GOK Department PER'S	
		Training: after every semester and annually	progress of trainees toward degree	all trainees finish studies and return as planned	Contractor reports	
Expenditure of funds checked	P	quarterly through contract activities	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	TA: every 6 months	availability of housing, completion of college civil works, logistic support	increases in student body and academic capacity as planned	Egerton records	
		Training: annually	availability of trainees, salaries, professional positions	timely provision of support	MOA budgets, Egerton records	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	Egerton strengthened through 91 MY of 28 U.S. technicians	SECID TA final report Egerton records	
Training completed	E	end of contract period	degree to which contractor/trainees have fulfilled obligations	139 MY of training for 43 Kenyans	SECID Training final report	
Evaluation of training and TA at Egerton	E	6 months after training ends	degree of change in Egerton capability	Kenyan faculty trainees meet Egerton needs	Egerton records Trainee evaluations	
Evaluation of College expansion	E	January 1986	number of Kenyan faculty size of student body quality of training provided	76 Kenyan faculty 1632 student body high quality training	Egerton records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 10, Egerton Civil Works (Host Country Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Initial Conditions Precedent are met	E	before activities begin	degree to which conditions are met	all conditions met	GOK budgets, records	
Master and Contracting Plans approved	E	initial activity	quality and scope of proposed plans	proposed plans are within quality and general cost range	GOK/USAID proposals	
Availability of funds confirmed	E	prior to preparation of detailed design	amount of proposed budget funds	sufficient funding budgeted for project follow through	USAID budgets	
USAID Approval of full tender documents, preparation and forwarding of PIL	E	prior to GOK request for bids	quality of preparation of EQQ, tender documents	clear specification of standards, design	EQQ, tender documents	
USAID Approval of final awards	E	prior to GOK signing of contracts	specificity and quality of contract terms	GOK meets final conditions clear specifications in accordance with detailed plans	GOK contracts	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement and Contractor progress checked	P	every 2 months	progress of construction	completion of constructions phases as planned in P.P. to allow faculty and student expansion	site visits, contractor reports	
Expenditure of funds checked	P	quarterly	reimbursement claims (?)	funds spent for purposes specified	GOK expenditure reports	
Construction completed	E	end of contract period	degree to which contractor has met obligations	completion of construction as specified	site visit, Contractor final report	

EARLY-WARNING AND BACK-UP SYSTEM CHART

PROJECT COMPONENT 9&10 Egerton DRAFTED BY PCI DATE Sept. 1979

A	B	C	D
<p>Key Project Activity</p> <p>(Draw from Bar/Responsibility Chart or Performance Network)</p>	<p>Anticipated Implementation Problem(s)</p> <p>(What are likely deviations from plan?)</p>	<p>Early-warning Indicator(s)</p> <p>(How can problem be detected early-on?)</p>	<p>Back-up Response(s)</p> <p>(What can be done to deal with problem early-on?)</p>
<p>1. Overseas participants completed degrees on time and return to Kenya</p>	<p>1a. A large number of Ph.D. students will not complete in 3 years.</p> <p>1b. Many masters degree students stay on in the U.S.</p>	<p>1a.1 Students have not completed comprehensive examinations by year 2 of their program</p> <p>1b.1 Many masters degree students in other GOK programs are staying in the U.S.</p>	<p>1a.1.1 Improved selection criteria</p> <p>1a.1.2 Special incentive system</p> <p>1b.1.1 Have participants sign a more stringent "Return to Kenya" contract before leaving for the U.S.</p>
<p>2. Sufficient GOK scholarships are provided to an increased number of Egerton students</p>	<p>1a. GOK scholarship funds not approved in sufficient quantity because GOK expansion plan not approved</p> <p>2a. An insufficient number of highly qualified students are given scholarships</p>	<p>1a.1 GOK requests for additional scholarship funds are lagging behind schedule</p> <p>2a.1 Less than expected number of scholarship applications are received</p>	<p>1a.1.1 Unknown</p> <p>1a.1 Unknown</p>

EARLY-WARNING AND BACK-UP SYSTEM CHART

PROJECT COMPONENT # 9&10 Egerton

DRAFTED BY PCI

DATE Sept. 1979

A	B	C	D
<p>Key Project Activity</p> <p>(Draw from Bar/Responsibility Chart or Performance Network)</p>	<p>Anticipated Implementation Problem(s)</p> <p>(What are likely deviations from plan?)</p>	<p>Early-warning Indicator(s)</p> <p>(How can problem be detected early-on?)</p>	<p>Back-up Response(s)</p> <p>(What can be done to deal with problem early-on?)</p>
<p>3. Phase I dormitory completed before student enrollment increases</p>	<p>3a. Phase I construction not completed on time</p>	<p>3a.1 Construction contracts not negotiated on time</p> <p>3a.2 Construction lagging behind schedule at mid-way point</p>	<p>3a.1.1 Add additional resources to speed-up completion of key structures</p> <p>3a.2.1 Same</p>
<p>4. GOK financial and logistical support are adequate</p>	<p>4a. Housing not acceptable to Technical Assistance personnel</p>	<p>4a.1 First inspecting report of T.A. Chief of Party</p>	<p>4a.1 Remodel</p> <p>4a.1.2 Change design specifications on remaining houses</p>
<p>5. Egerton College curriculum altered so that more relevant to Kenyan small-holder needs</p>	<p>5a. Training will not be more relevant to small holder needs</p>	<p>5a.1 Early Egerton graduates show no attitude or knowledge differences from previous graduates</p>	<p>5a.1.1 Unknown</p>

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ASSP COMPONENT 11: Coast Institute Study

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame		
Performance Network		
Component Bar/Responsibility Chart		SRC-1, SRS-1, SRM-3, SRCH-1
Implementation Sub-Routines	X	
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 11. Coast Institute Study (Host Country Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
for first 6 items to be monitored, See Monitoring and Reporting Plan, Component 8. University of Nairobi. Study						
Coast Institute Study Complete	E	end. of contract period	degree to which contractor has met obligations	high quality, comprehensive study of establishment of Coast Institute, physical and academic feasibility, appropriate to Kenyan needs	Contractor final report, study findings	
Evaluation of Study Findings	E	6 months after study completed	degree to which studying findings have been incorporated into long range plans	funds sought to implement study findings	GOK budgets, records	

ASSP COMPONENT 12: MOA Training Fund

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	X
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRS-4, SRM-2
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		

Comments on Method of Use:

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 12. MOA Training Fund (No Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
<p>Overseas Training: For first 7 items to be monitored see Monitoring and Reporting Plan for Component 4. AFC Training, replacing AFC with MOA</p> <p>Completion of overseas training</p>	E	end of training period	degree to which trainees, USDA have fulfilled obligations	100 MOA participants by 1985	USDA Training Documents, Contractor Reports MOA records	
<p>In-Service Training and TA:</p> <p>Quality Contract signed with USDA</p>	E	before training services begin	description of contract deliverables and monitoring system	clear specifications of objectives, evaluation criteria	USDA contract	
<p>Informal Project Environment checked</p>	P	continuously through T.A. period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
<p>USDA progress checked</p>	P	every 6 months through T.A. period	comparison of planned to actual activities	timely carry-out of in-service training appropriate to MOA needs, contract specs.	USDA contractor reports MOA trainee reports	
<p>MOA support checked</p>	P	every 6 months through training period	availability of trainees, institutional and logistic support, professional positions	timely provision of support, MOA cooperation	MOA semi-annual reports, USDA reports	
<p>T.A. completed</p>	E	end of T.A. in-service training	degree to which contract obligations have been met	In-service training tasks complete as planned	USDA final report MOA in-service training report	
<p>Evaluation of training activities on MOA</p>	E	6 months after training ends	degree of change in MOA capability	performance of MOA personnel improved	MOA records	
<p>Evaluation of MOA activities</p>	E	January 1985	number of trainees placed in MOA and performing well	high percent of trainees working well in MOA, improving extension system capability	MOA records	

ASSP COMPONENT 13: Kiboko Range Research

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree	X	III B-1
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	
Performance Network	X	
Component Bar/Responsibility Chart	X	SRC-1, SRC-2, SRC-5, SRS-1, SRS-2, SRS-5, SRM-1, SRM-2, SRCH-1
Implementation Sub-Routines	X	
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart	X	
<u>Comments on Method of Use:</u>		

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions	all conditions met	GOK budget, records	
PIL's and RFP's approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
Procurement award reviewed and approved	E	prior to GOK signing of commodity contract	contract contents: commodity lists, standards, schedules and costings	complete and detailed specifications for \$266,000 of equipment support	contract USAID records	
High quality contract signed for TA and training	E	prior to contract period	description of contract deliverables, contractor monitoring system	clear specifications of objectives, evaluation criteria	GOK contracts	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Issuance of PIO/P's	P	prior to departure of overseas training cohort	completeness of information on trainees	timely preparation and approval of PIO/P's	USAID records	
Overseas training begun	P	upon completion of placement, travel of each cohort	number of trainees attending institutions	all scheduled trainees beginning studies	Texas A & M reports	
WINROCK, INT. progress checked	P	TA: every 6 months	comparison of actual to planned activities	technical assistance is timely and appropriate to Kiboko needs	WINROCK and GOK reports, PER's	
		Training: after every semester, and annually	progress of trainees toward degree	all trainees finish studies and return as planned	Texas A & M reports	
Expenditure of funds checked	P	Quarterly through contract period	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	TA: every 6 months	availability of housing, logistic support, research officers	sufficient and timely provision of support to achieve expansion as scheduled	Kiboko records budget	
		Training: annually	availability of trainee salaries, return posts	timely provision of support	Kiboko records NDA budgets	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	372 WM for 6 consultants 84 TM for short term TA, meet quality and time specs.	WINROCK final report	
Training completed	E	end of contract period	degree to which contractor, trainees have fulfilled obligations	684 WM of academic training for 18 participants		
Evaluation of training and TA at Kiboko	E	6 months after contract period ends	degree of change in Kiboko capability	more and better range research dissemination of findings to Extension staff (semi-annual training programs underway by 1982) and academic institutions	Kiboko records Trainee evaluations	
Evaluation of Kiboko expansion	E	January, 1985	number of research officers degree of information dissemination	18 trained Kenyan research officers annual reports of research	Kiboko records Egerton curriculum, NDA	

EARLY-WARNING AND BACK-UP SYSTEM CHART

PROJECT COMPONENT Kiboko Range Research DRAFTED BY PCI DATE Sept. 1979

A	B	C	D
<p>Key Project Activity</p> <p>(Draw from Bar/Responsibility Chart or Performance Network)</p>	<p>Anticipated Implementation Problem(s)</p> <p>(What are likely deviations from plan?)</p>	<p>Early-warning Indicator(s)</p> <p>(How can problem be detected early-on?)</p>	<p>Back-up Response(s)</p> <p>(What can be done to deal with problem early-on?)</p>
<p>1. Range Research Council meets and approves research plans</p>	<p>1a. Council not likely to meet on time</p> <p>1b. Council not approve individual research studies</p>	<p>1a.1 Members not appointed to council on time</p> <p>1b.1 Members appointed are not representatives of Kiboko</p>	<p>1a.1 Unknown</p> <p>1b.1 Unknown</p>
<p>2. Houses and commodities available in time for technical Assistance Team</p>	<p>2a. Only a few of the houses are completed when Technical Assistance arrives.</p>	<p>2a.1 House construction contractor is behind schedule</p>	<p>1b.1 Unknown</p>
<p>3. Kiboko participants return to the Research Station following academic training and have adequate incentives to remain there</p>	<p>3a. Turnover in returned researchers at the station is very high</p>	<p>3a.1 Turnover of professional staff (non-participant) is high</p>	<p>3a.1.1 Unknown</p>

ASSP COMPONENT 14: Evaluation

The Implementation System documents relevant for managing this ASSP component are indicated below. Information is included on where the relevant documents are located in this Manual and in the Manual's accompanying packet of support materials.

ASSP Implementation Documents	Relevant for managing this ASSP component	Location in Manual
Objective Tree		
Master Physical Bar Chart	X	III B-2
Master USAID Implementation Bar Chart	X	III B-3
Implementation LogFrame	X	
Performance Network		
Component Bar/Responsibility Chart		
Implementation Sub-Routines	X	SRC-4, SRC-6 SRS-3, SRM-5, SRCH-1
Monitoring and Reporting Plan	X	
Early-warning and Back-up System Chart		
<u>Comments on Method of Use:</u>		

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 14. ASSP Evaluation (USAID/AID Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)	
PIO/T's and RFP approved	E	before proposals requested	quality of preparation, specification of objectives	timely approval by AID	USAID records		
Quality Contracts signed	E	after negotiations	specificity of deliverables as to quantity, quality time and cost	contract objectives clearly defined, evaluation of contractor clear	contract		
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	cooperation from project actors, objective attitude toward evaluation	informal contacts		
Commencement and Contractors progress checked	P	monthly during contract period	comparison of actual to planned activities	evaluation activities designed and carried out as scheduled in P.P.	contractor monthly reports		
Expenditure of funds checked	P	quarterly through contract period	reimbursement vouchers	funds spent as specified	contractor monthly reports		
Evaluation Design Study completed	E	End of design contract period	degree to which contractor has met contract obligations	high quality and useful design submitted on schedule	Contractor final report Design Study		
Project Evaluations completed	E	end of evaluation contract period	degree to which contractor has met contract obligations	high quality and useful ASSP evaluations are submitted	Contractor final report ASSP evaluations		
Impact of Evaluation checked	E	6 months after evaluations completed	degree to which recommendations have been acted upon	USAID and GOK modify operations in line with accepted recommendations	USAID, GOK Ministry records		

D. LINKS BETWEEN PROJECT IMPLEMENTATION
AND PROJECT EVALUATION

The three pillars of a management information system are monitoring, reporting and evaluation. Feasibility study, which is sometimes added as a fourth component, is really a special case of evaluation, using expected rather than actual data.

Monitoring and reporting are integral parts of project implementation and, as a result, have received prominent treatment in this Manual. Although evaluation is more concerned with explaining project effectiveness than with directly producing that effectiveness, there are a number of important linkages between implementation and evaluation which bear special mention.

It has become fashionable to think of evaluation as something which occurs only after project completion. This form of evaluation - summative evaluation - is useful for purposes of accountability and the improvement of future projects. However, evaluation which takes place during the project - formative evaluation - can often be directly and immediately useful in improving project performance. The important distinction between monitoring and evaluation is thus not their timing but their focus.

In LogFrame terms, the primary role of monitoring is to control the process of transforming Inputs into Outputs and influence the External Conditions ("assumptions") intervening between Outputs and the Project Purpose. Evaluation, on the other hand, concentrates on assessing Purpose and Goal level achievement and explaining any deviation between planned and actual results.

In the ASSP project, it is both possible and appropriate to collect a significant amount of evaluation data in the course of performing normal monitoring and reporting functions. Consequently, we have directly incorporated the collection of such data into the Manual's Monitoring and Reporting Plans - sometimes in the form of special evaluations, but frequently as a normal periodic or episodic activity. ASSP has particular potential for formative evaluation of those activities - especially TA and training - which are replicated a number of times during the life of the project. By carefully assessing early experiences, there should be considerable opportunity to incorporate lessons learned into subsequent replications. However, the Project affords few opportunities for formative evaluation vis-a-vis higher order objectives, since the nature of institutional development projects is such that benefits are often visible only some years after project completion. Nevertheless, even at the higher levels there are several "leading indicators" that can be tracked to provide early warning of problems and opportunities.

A second link between implementation and evaluation concerns the definition of intermediate level objectives lying between project outputs and macro goals. As we have mentioned throughout this Manual, effective implementation requires clear performance objectives and a well defined sense of purpose. Where stated goals are far removed from project activities, the operational value of these goals is minimal. The master Objective Tree and component Implementation LogFrames articulate intermediate objectives as a guide to implementation. From an evaluation perspective, these intermediate levels also define the levels at which

results of the project should be discernible and attributable. It is no coincidence, we feel, that project designs which are difficult to evaluate are also difficult to successfully implement.

The third link between implementation and evaluation concerns the role which good monitoring should play in assisting subsequent evaluation. Evaluation should explain not only what happened, but also why it happened. To do this, it requires a good deal of information about how the project was implemented and what circumstances occurred along the way. This information is virtually irretrievable after the project is completed. Unless it is routinely collected and recorded through monitoring and recording activities, a rich source of evaluation information will be lost. Viewed from one perspective, ASSP is testing some very important hypotheses about the ways to develop viable institutions and the role of such institutions in improving agricultural services to small farmers. In addition to whatever material benefits it generates, its information flows should be so designed as to provide for thorough testing of these hypotheses.

The fourth, and final, link between implementation and evaluation concerns the fact that evaluations must themselves be implemented. Evaluations, in our experience, are most effective when they are regarded as mini-projects. The same cost-effectiveness criteria applied to development projects should be used to determine the appropriate focus and level of sophistication of such evaluation studies. They too should have clearly articulated purposes, goals, and performance indicators. And they too can be significantly improved by the application of the type of implementation management tools introduced in this Manual.

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 1. MOCD Training Fund (No Contract) (See also Component 2)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pa)
Conditions Precedent are met for overseas and in-service training	E	before activities begin	progress of GOK in meeting conditions precedent	all conditions met	MOCD budgets, reports	
Approved candidates complete information sheets	P	initial activity for each cohort	completeness of information sheets	timely and complete sheets	USAID records	
Notification of Office of International Training (DS/OIT)	P	upon receipt of complete information sheets from cohort		timely notification	USAID records	
Final PIO/P's signed	P	prior to departure data, allowing for processing time and placement	signature of officials	timely authorizations by AFC, GOK Director of Personnel, Ministry of Finance	USAID records	
Placement of trainees achieved	P	prior to beginning of scheduled academic year	match of trainee request to placement position	all trainees placed as appropriate	DS/OIT reports	
Informal project environment checked	P	continuously through training operations	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
AFC support provided	P	every 6 months during training period	availability of AFC trainees, Logistic support, trainee salaries and professional positions	timely provision of support and job incentives	AFC budgets Trainee evaluations	
Completion of training	E	end of training period	degree to which trainees have fulfilled obligations	all trainees complete studies and return as scheduled	DS/OIT reports	
Evaluation of training impact in AFC	E	6 months after training completed	degree of change in AFC institutional capability	improvement in AFC employee performance	AFC records	
Evaluation of AFC operations	E	January 1985	number of AFC loans	25% increase	AFC records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 2. COOF Technical Assistance (USAID Contracting) (See also Component 1)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions precedent	all conditions met	MCCD budget reports	
PIQ/T and RFP approved	E	before proposals requested	timely approval by AID		USAID records	
Quality Contract Signed	E	after negotiations	specificity of deliverables as to quantity, quality, time, cost	have contract objectives clearly defined	contract	
Informal Project Environment checked	P	continuously through entire component operations	attitude of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement and Contractor progress checked	P	every 6 months through contract period	comparison of planned to actual activities	meet plan objectives	contractor reports, MCCD annual PER's	
Expenditure of funds checked	P	monthly through contract period	contractor estimates of monthly expenditures	funds spent as specified	contractor reports	
GOK support checked	P	every 6 months through contract period	availability of trainees, institutional and logistic support	timely provision of support, cooperation	MCCD semi-annual reports, contractor reports	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	timely, quality TA appropriate to Kenyan situation and contract specs.	final report	
Evaluation of TA impact on MCCD	E	6 months after end of contract period	degree of change in MCCD internal operations	improvement in MCCD institutional capability	MCCD records	
Evaluation of MCCD performance in reaching smallholders	E	January, 1985	number of smallholders holding membership in co-ops	15% increase	MCCD records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 3. Coop Training Study And College Study (USAID Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (EX) ACHIEVEMENT (AC) PERIODIC (Pe)
Conditions Precedent are met	E	before contract begins	progress of GOK in meeting conditions precedent	all conditions met	GOK budgets and official reports	
PIQ/T and RFP approved		before proposals requested	timely approval by AID		USAID records	
Quality contract signed	E	after negotiations	specificity of deliverables as to quantity, quality, time, cost	have contract objectives clearly defined	Contract	
Informal project environment checked	P	monthly through entire component operations	attitudes of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement and Contractor progress checked	P	monthly during contract period	comparison of actual activities to be planned	meet plan objectives	contractor monthly reports	
Expenditure of funds checked	P	quarterly during contract period	reimbursement vouchers	funds spent as specified	contractor monthly reports	
MCCD provides counterpart study team and necessary	P	within month of contract being signed, then every 6 months	availability of GOK counterparts, logistic, financial and policy support	GOK provides timely study team counterparts	contractor reports MCCD reports	
Education Evaluation study completed	E	end of contract period	degree to which contractor has fulfilled obligations	high quality, useful study	contractor final report	
Academic and Engineering studies complete	E	end of contract period	degree to which contractor has met contract obligations	high quality useful study	contractor final report	
Evaluation of study use in MCCD	E	6 months after contract period ends	degree to which MCCD responds to and incorporates study findings	MCCD supports expansion program	MCCD reports	
USAID revises P.P. to facilitate funding of MCCD expansion	E	8 months after contract period ends	degree of continued AID support	interest maintained	AID records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 4. AFC Training (no contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions	all conditions met	AFC records budgets	
Approved Candidates complete information sheets	P	initial activity for each training cohort	completeness of information sheets	timely and complete sheets received	USAID records	
Notification of Office of Informational Training (DS/OIT)	P	upon receipt of complete information sheets from cohort		timely notification	USAID records	
Final PIO/P's signed	P	prior to departure date, allowing for processing time and placement	signatures of officials	timely authorizations by AFC, GOK Director of Personnel, Ministry of Finance	USAID records	
Placement of trainees achieved	P	prior to beginning of scheduled academic year	match of trainee request to placement position	all trainees placed as appropriate	DS/OIT reports	
Informal project environment checked	P	continuously through training operations	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
AFC support provided	P	every 6 months during training period	availability of AFC trainees, Logistic support, trainee salaries and professional positions	timely provision of support and job incentives	AFC budgets Trainee evaluations	
Completion of training	E	end of training period	degree to which trainees have fulfilled obligations	all trainees complete studies and return as scheduled	DS/OIT reports	
Evaluation of training impact in AFC	E	6 months after training completed	degree of change in AFC institutional capability	improvement in AFC employee performance	AFC records	
Evaluation of AFC operations	E	January, 1985	number of AFC loans	25% increase	AFC records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 5. AFC Technical Assistance (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (EX) ACHIEVEMENT (AC) PERIODIC (Pa)
Conditions Precedent are met	E	before activities begin	Progress of GOK in meeting conditions	all conditions met	GOK, AFC budgets, records	
PIL and RFP approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
High quality contracts signed by GOK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specifications of objectives, evaluation criteria	GOK contract	
Informal project environment checked Commencement and Contractor progress checked	E	continuously through contract activities	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Expenditure of funds checked	P	every 6 months	comparison of actual to planned activities	technical assistance is timely and appropriate to AFC needs	Contractor reports AFC records	
GOK support checked	P	quarterly through contract activities	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	every 6 months	availability of logistic support, trainees, AFC cooperation, budget support	timely provision of resources, trainees, institutional support	AFC budgets, records, Contractor reports	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	AFC receives 168 WM of technical services geared to institutional training needs	Contractor final report AFC records	
Evaluation of TA in AFC	E	6 months after contract period ends	degree of change in AFC capability	financial management and personnel operations and training strengthened and broadened	AFC records	
Evaluation of AFC	E	January, 1985	degree of change in institutional capability	25% increase in AFC loans		

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 6. Grain Storage Study (AID Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
For first 7 items to be monitored, see Monitoring and Reporting Plan for Component 3. COOP Training Study and College Study, replacing MDCD with MDA						
Study completed	E	end of contract period	degree to which contractor has met obligations	timely, high quality, useful study appropriate to Kenyan situation	Contractor final report. MDA evaluations	
Evaluation of Study Use in MDA	E	6 months after contract period ends	degree to which MDA operations reflect study findings	improved grain storage ability of extension staff	MDA records, reports	
Evaluation of MCA performance	E	January, 1985	number of grain storage contacts with small holders	15% increase by 1985	MDA records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 7. Grain Storage Training (No Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERTINENT (Pe)	
<p>For first 8 items to be monitored, see Monitoring and Reporting Plan for Component 4. APC Training replacing APC with MOA</p>							
<p>Evaluation of training on MOA</p>	E	6 months after training completed	degree of change in MOA grain storage capability	improve performance of Extension personnel in area of grain storage	MOA reports Trainee evaluations		
<p>Evaluation of MOA operations in grain storage</p>	E	January 1985	number of grain storage extension contacts with small holders	increase 15%	MOA records		

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 8. University of Nairobi Study (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	Degree to which GOK has met conditions	all conditions met	GOK budgets records	
RFP, PIL approved	E	before GOK requests proposals	timely approved by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
High quality contract signed by GOK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specification of objectives, evaluation criteria	GOK contract	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Commencement and Contractor progress checked	P	every 3 months during contract period	comparison of planned to actual activities	study activities proceed as planned	contractor reports	
Expenditure of funds checked	P	every 3 months during contract period	GOK reimbursement claims	funds spent as specified	GOK quarterly reimbursement reports	
University of Nairobi study completed	E	end of contract period	degree to which contractor has met obligations	high quality, comprehensive study of academic and physical expansion of Faculty of Agriculture, Nairobi University, as specified	contractor final report study findings	
Evaluation of Use of Study	E	6 months after study completed	degree to which study findings have been incorporated into University of Nairobi Plans	funding sources sought for study recommendations	University of Nairobi budgets, records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 9. Egerton Technical Assistance (Host Country Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of GOK in meeting conditions	all conditions met	GOK budgets, records	
PIL's and RFP's approved	E	before proposals requested	timely approval by AID	GOK formulates quality RFP, USAID prepares timely PIL	USAID records	
Procurement awards reviewed and approved	E	prior to GOK signing of commodity contracts	contract contents: commodity lists, standards schedules and costings	complete and detailed specifications	GOK contract	
High quality contracts signed by GOK	E	prior to contract period	description of contract deliverables, contract monitoring system	clear specifications of objectives, evaluation criteria	GOK contract	
Informal project environment checked	P	continuously through contract activities	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Issuance of PIO/P's	P	prior to departure of overseas trainee cohort	completeness of information on trainees	timely preparation and approval of PIO/P's	USAID records	
Overseas training begun	P	upon completion of placement, travel of each cohort	number of trainees attending institutions	all scheduled trainees beginning studies	SECID reports	
SECID progress checked	P	TA: every 6 months and annually Training: after every semester and annually	comparison of actual to planned activities progress of trainees toward degree	technical assistance is timely and appropriate to Egerton needs all trainees finish studies and return as planned	Contractor reports GOK Department PLR's	
Expenditure of funds checked	P	quarterly through contract activities	periodic claims for reimbursement	funds spent according to project specifications	GOK quarterly financial reports	
GOK support checked	P	TA: every 6 months Training: annually	availability of housing, completion of college civil works, logistic support availability of trainees, salaries, professional positions	increases in student body and academic capacity as planned timely provision of support	Egerton records MOA budgets, Egerton records	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	Egerton strengthened through 91 MW of 28 U.S. technicians	SECID TA final report Egerton records	
Training completed	E	end of contract period	degree to which contractor/trainees have fulfilled obligations	139 MW of training for 43 Kenyans	SECID Training final report	
Evaluation of training and TA at Egerton	E	6 months after training ends	degree of change in Egerton capability	Kenyan faculty trainees meet Egerton needs	Egerton records Trainee evaluations	
Evaluation of College expansion	E	January 1986	number of Kenyan faculty size of student body quality of training provided	76 Kenyan faculty 1632 student body high quality training	Egerton records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 10, Egerton Civil Works (Host Country Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Initial Conditions Precedent are met	E	before activities begin	degree to which conditions are met	all conditions met	GOK budgets, records	
Master and Contracting Plans approved	E	initial activity	quality and scope of proposed plans	proposed plans are within quality and general cost range	GOK/USAID proposals	
Availability of funds confirmed	E	prior to preparation of detailed design	amount of proposed budget funds	sufficient funding budgeted for project follow through	USAID budgets	
USAID Approval of full tender documents, preparation and forwarding of P.L.	E	prior to GOK request for bids	quality of preparation of EQ, tender documents	clear specification of standards, design	EQ, tender documents	
USAID Approval of final awards	E	prior to GOK signing of contracts	specificity and quality of contract terms	GOK meets final conditions clear specifications in accordance with detailed plans	GOK contracts	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	maintain strong support and enthusiasm	informal contacts	
Commencement and Contractor progress checked	P	every 2 months	progress of construction	completion of construction phases as planned in P.P. to allow faculty and student expansion	site visits, contractor reports	
Expenditure of funds checked	P	quarterly	reimbursement claims (?)	funds spent for purposes specified	GOK expenditure reports	
Construction completed	E	end of contract period	degree to which contractor has met obligations	completion of construction as specified	site visit, Contractor final report	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 11 Coast Institute Study (Host Country Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
<p>for first 6 items to be monitored, See Monitoring and Reporting Plan, Component 8, University of Nairobi Study</p> <p>Coast Institute Study Complete</p>	E	end of contract period	degree to which contractor has met obligations	high quality, comprehensive study of establishment of Coast Institute, physical and academic feasibility, appropriate to Kenyan needs	Contractor final report, study findings	
Evaluation of Study Findings	E	6 months after study completed	degree to which studying findings have been incorporated into long range plans	funds sought to implement study findings	GOK budgets, records	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 12. MDA Training Fund (No Contract)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACCOMPLISHMENT (Ac) PERIODIC (Pe)
Overseas Training: For first 7 items to be monitored see Monitoring and Reporting Plan for Component 4. AFC Training, replacing AFC with MDA						
Completion of overseas training	E	end of training period	degree to which trainees, USDA have fulfilled obligations	100 MDA participants by 1985	USDA Training Documents, Contractor Reports MDA records	
In-Service Training and TA:						
Quality Contract signed with USDA	E	before training services begin	description of contract deliverables and monitoring system	clear specifications of objectives, evaluation criteria	USDA contract	
Informal Project Environment checked	P	continuously through T.A. period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
USDA progress checked	P	every 6 months through T.A. period	comparison of planned to actual activities	timely carry-out of in-service training appropriate to MDA needs, contract specs.	USDA contractor reports MDA trainee reports	
MDA support checked	P	every 6 months through training period	availability of trainees, institutional and logistic support, professional positions	timely provision of support, MDA cooperation	MDA semi-annual reports, USDA reports	
T.A. completed	E	end of T.A. in-service training	degree to which contract obligations have been met	In-service training tasks complete as planned	USDA final report MDA in-service training report	
Evaluation of training activities on MDA	E	6 months after training ends	degree of change in MDA capability	performance of MDA personnel improved	MDA records	
Evaluation of MDA activities	E	January 1985	number of trainees placed in MDA and performing well	high percent of trainees working well in MDA, improving extension system capability	MDA records	

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
Conditions Precedent are met	E	before activities begin	progress of COK in meeting conditions	all conditions met	COK budget, records	
PIE's and RFP's approved	E	before proposals requested	timely approval by AID	COK formulates quality RFP, USAID prepares timely PIE	USAID records	
Procurement award reviewed and approved	E	prior to COK signing of commodity contract	contract contents: commodity lists, standards, schedules and costings	complete and detailed specifications for \$266,000 of equipment support	contract USAID records	
High quality contract signed for TA and training	E	prior to contract period	Description of contract deliverables, contractor monitoring system	clear specifications of objectives, evaluation criteria	COK contracts	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	strong support and enthusiasm maintained	informal contacts	
Issuance of PIO/P's	P	prior to departure of overseas training cohort	completeness of information on trainees	timely preparation and approval of PIO/P's	USAID records	
Overseas training begun	P	upon completion of placement, travel of each cohort	number of trainees attending institutions	all scheduled trainees beginning studies	Texas A & M reports	
WINROCK, INT. progress checked	P	TA: every 6 months	comparison of actual to planned activities	technical assistance is timely and appropriate to Kiboko needs	WINROCK and COK reports, PER's	
		Training: after every semester, and annually	progress of trainees toward degree	all trainees finish studies and return as planned	Texas A & M reports	
Expenditure of funds checked	P	Quarterly through contract period	periodic claims for reimbursement	funds spent according to project specifications	COK quarterly financial reports	
COK support checked	P	TA: every 6 months	availability of housing, logistic support, research officers	sufficient and timely provision of support to achieve expansion as scheduled	Kiboko records budget	
		Training: annually	availability of trainee salaries, return posts	timely provision of support	Kiboko records MA budgets	
TA completed	E	end of contract period	degree to which contractor has fulfilled obligations	372 \$/ for 6 consultants 84 \$/ for short term TA, meet quality and time specs.	WINROCK final report	
Training completed	E	end of contract period	degree to which contractor, trainees have fulfilled obligations	684 \$/ of academic training for 18 participants		
Evaluation of training and TA at Kiboko	E	6 months after contract period ends	degree of change in Kiboko capability	more and better range research dissemination of findings to Extension staff (semi-annual training programs underway by 1982) and academic institutions	Kiboko records Trainee evaluations	
Evaluation of Kiboko expansion	E	January, 1985	number of research officers degree of information dissemination	18 trained Kenyan research officers annual reports of research	Kiboko records Dgerton curriculum, MA	

MONITORING AND REPORTING PLAN

PROJECT COMPONENT: 14. ASSP Evaluation (USAID/AID Contracting)

SEPTEMBER, 1979

ITEM OR MILESTONE TO BE MONITORED	PERIODIC (P) OR EPISCODIC (E)	TIMING OF MONITORING	INDICATOR	TARGET	DATA SOURCE	REPORT: EXCEPTION (Ex) ACHIEVEMENT (Ac) PERIODIC (Pe)
PIO/T's and RFP approved	E	before proposals requested	quality of preparation, specification of objectives	timely approval by AID	USAID records	
Quality Contracts signed	E	after negotiations	specificity of deliverables as to quantity, quality time and cost	contract objectives clearly defined, evaluation of contractor clear	contract	
Informal project environment checked	P	continuously through contract period	attitudes of other actors, political climate	cooperation from project actors, objective attitude toward evaluation	informal contacts	
Commencement and Contractors progress checked	P	monthly during contract period	comparison of actual to planned activities	evaluation activities designed and carried out as scheduled in P.P.	contractor monthly reports	
Expenditure of funds checked	P	quarterly through contract period	reimbursement vouchers	funds spent as specified	contractor monthly reports	
Evaluation Design Study completed	E	End of design contract period	degree to which contractor has met contract obligations	high quality and useful design submitted on schedule	Contractor final report Design Study	
Project Evaluations completed	E	end of evaluation contract period	degree to which contractor has met contract obligations	high quality and useful ASSP evaluations are submitted	Contractor final report ASSP evaluations	
Impact of Evaluation checked	E	6 months after evaluations completed	degree to which recommendations have been acted upon	USAID and GOK modify operations in line with accepted recommendations	USAID, GOK Ministry records	