

632-0065

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PD - AA6-092

UNCLASSIFIED
CLASSIFICATION

PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE Farming Systems Research		2. PROJECT NUMBER 632-0065	3. MISSION/AID/W OFFICE USAID/Lesotho
		4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) <u>632-80-8</u>	
		<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION	

5. KEY PROJECT IMPLEMENTATION DATES			6. ESTIMATED PROJECT FUNDING A. Total \$ <u>9,032</u> B. U.S. \$ <u>8,308</u>	7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Equivalent FY <u>78</u>	B. Final Obligation Expected FY <u>83</u>	C. Final Input Delivery FY _____		From (month/yr.) <u>4/78</u>	To (month/yr.) <u>8/80</u>
Date of Evaluation Review _____					

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

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., program, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
1. Establish a budget for AID and GOL contributions to recurrent program support items.	USAID/GOL/WSU	Immediately
2. Initiate a formal review of the Research Division and its tasks to determine what institutional requirements have to be met to insure a research program suitable to Lesotho. Also assess current research policies, program development, and operations.	GOL/USAID	Jan. 81
3. Establish analytical reports regarding research, technical and institutional requirements, project plan of action, and project accomplishments.	WSU Team	Immediately
4. Establish plan for recruiting, training and placing GOL research staff - including immediate assignment of most urgently needed counterparts plus long term staff development.	USAID/GOL/WSU	Dec. 80
5. Prepare scope of work for outside evaluation to take place in first six months of FY 1981.	USAID Project Manager	Dec. 80

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS

<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____

10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT

A. Continue Project Without Change

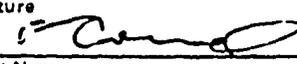
B. Change Project Design and/or Change Implementation Plan

C. Discontinue Project

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles)

James Dunn, Project Manager
Byron Bahl, Program Officer & Mission Evaluation Officer

12. Mission/AID/W Office Director Approval

Signature 

Typed Name Frank D. Correl

Date 10-31-80

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13. INTRODUCTION, SUMMARY, AND EXTERNAL

A. Introduction - The project is to establish a system for introducing farm tested enterprise mixes to farmers. The mixes consist of the types of crops and livestock to be grown as well as the technology and management practices to be employed in growing them. Selections of enterprise mixes are to be made in the context of farming input availabilities, extension services, community acceptability, land tenure practices, and marketing conditions. To establish this system it is necessary to set up research operations, establish a Basotho staffed applied research group to continue these operations, and institutionalize the policy and organizational framework for research and extension within which the system will operate.

The agreement between the Government of Lesotho and AID to carry out this project was signed in April 1978. The project technical assistance team, provided under a contract with Washington State University (WSU), began arriving in Lesotho in July 1979 and was fully on board by August 1980. Simultaneous inputs and activities centered on construction of office space, selection of prototype areas for testing farming systems, and launching a training program to qualify Basotho for assumption of the research positions.

B. Summary Findings Regarding Status - The technical assistance team is now in place and engaged in field operations. Due to a number of delaying factors encountered both before and since the team's arrival, the project is approximately one year behind schedule. The WSU team and Basotho MOA staff are thus engaged in Phase III activities - initial field testing and data gathering - in 1980/81 rather than in 1979/80 as originally scheduled. See Section 16. INPUTS and Attachment A for detailed discussion.

Progress is being made on accomplishing each of the project outputs and achievement of the project objective is still feasible. Nevertheless, there are a number of outstanding needs, which, if allowed to remain unmet, will result in ultimate failure of the project. These include:

(1) GOL: Develop policy guidelines, organization, staff and program plans and take steps to improve administrative support necessary for the effective operation of a successful research system. Present availability and use of resources and status of policy development is insufficient either for successful operation of the total research system or for timely completion of this project. This includes clear and concise direction for research in Lesotho, the proportion of effort to be directed toward different types of research, and on how farming systems fits into the overall picture. It also includes a need to activate a fully developed management system for research, clearly define roles and responsibilities, delegate authority commensurate with responsibility, and overcome at least the most immediate existing administrative bottlenecks. See Sections 16.A(2), 16.B(2),

and 18.A for discussion.

(2) WSU: Should develop and articulate a comprehensive view of requirements for implementing the project and a coordinated, comprehensive plan of action. This need centers on coalescing the technicians into a coordinated team and includes communicating effectively and systematically accomplishments, constraints, and overall progress towards successful implementation of the project. It also includes a clearer definition of what specific things the team will do, how it will proceed toward doing them, and when they will be done. See Sections 16.A(2), 17 and 18.B for discussion.

(3) USAID: Should work toward providing more timely and comprehensive advice to both the GOL and the WSU team as required. More importantly, USAID should use whatever measures are necessary to insist on timely and effective performance by relevant parties in meeting their agreed upon project obligations. Also, USAID should provide extra project support as and when appropriate. See Sections 16.A(5) and 16.B(3) for discussion.

(4) ALL PARTIES: To review whether the design of this project is appropriate to the needs of agricultural research in Lesotho and within the capacity of the GOL ultimately to take over. To redesign as indicated by review. The need to review arises from four basic concerns expressed in the body of this evaluation. These are (1) the questions about technical assistance team composition and position definition raised in Section 16 A, (2) the issue of a single farming research section versus scattering the individual farming research specialists throughout the Research Division raised in Section 17 A, (3) uncertainty regarding GOL ability eventually to take over an activity of the scope and complexity of the one being developed by this project in view of the delays in providing GOL staff, trainees, and administrative support, and (4) the severe limits placed on the legitimacy of farming research efforts by the lack of an overall approach to research as discussed in Section 18 A. This review would be performed in conjunction with the forthcoming outside evaluation and in conjunction with a proposed assessment of the agricultural research sub-sector.

C. External Factors - The WSU team found two factors to be quite unlike what they had expected. The first is that the amount of research available from previous projects in Lesotho was much less than had been originally thought. For instance, there had been no varietal trials for crops conducted in the mountain areas, previous fertilizer trials were too incomplete to form a basis for recommendations to farmers, and the seed testing laboratory was not operational. Consequently, the team is conducting limited varietal, fertilizer, and other trials to establish basic input values prior to undertaking research with respect to enterprise mixes. The second is that GOL research policy direction and program support do not seem to be as firmly established as indicated in the basic project documents. This is discussed at some length in Section 18 A.

14. Evaluation Methodology - This evaluation was undertaken to measure project progress and to improve implementation. More specific reasons include (1) identifying specific operational steps that should be taken to improve project performance, (2) reviewing whether there should be any changes in approach by the WSU team, the Government of Lesotho, or USAID, and (3) to set the basis for a later evaluation by outsiders with specialized technical and organizational expertise in farming systems research. The later evaluation is to take place within the first half of the calendar year 1981.

The preliminary evaluation was performed by the USAID/Lesotho Project Manager and the Program Officer who interviewed members of the USAID technical assistance team funded under a contract with Washington State University, Government of Lesotho officials involved directly and indirectly in project implementation (See Attachment B for list), and reviewed project documentation and correspondence contained in USAID files. The findings from these interviews and reviews have been woven into the following narrative. The narrative format and accompanying attachment reflect the AID project design format, proceeding from inputs to outputs to project purpose. Further, since project operations as defined in the basic project documents were to be performed in a series of well defined stages, the narrative and attachment comment on how the project is proceeding along these stages.

The USAID team did not observe project activities in the three prototype areas in the field nor did it review the holdings of the research library to make any independent technical assessments. These will be made by the outside team in 1981. Further, as time was limited, there were few follow-up interviews and, consequently, the team in some cases - for instance in locating administrative obstacles - settled for making observations on end results as opposed to probing further into underlying causes. Nevertheless, one of the purposes of this initial, in-house evaluation is to help those concerned both take the steps necessary to advance project objectives and to present activities in a way that will permit the outside team and other concerned parties to clearly see what is and is not being accomplished in the context of Lesotho's research priorities.

15. External Factors - See Section 13.C

16. Inputs

A. USAID

(1) Technical Assistance

As of August 1980, the nine person technical assistance team is in place and operating. For the most part, it appears to be technically and professionally qualified with those skills necessary for continued project operations. (See Attachment C for list of positions). The agronomist, range management, and animal production positions appear to constitute a technical core appropriate to Lesotho's rural economy and consonant with

GOL skills needs. Further, the sociologist, farm management specialist, and marketing specialist positions appear to constitute the mix of skills needed to help convert the findings of technical research into farming systems and incorporate them into the society and the economy. Finally, specialized expertise to develop information approaches and communications systems appears to be a continuing need given apparent continuing difficulties in collecting research information and transmitting it to end users.

Nevertheless, there also appear to be questions with regard to team composition and position definition that call for further review. First, the agronomist indicates there is a need for mechanical engineering expertise to be added to the team. He reports that farm implements now in Lesotho are more appropriate to the large scale sophisticated technology farms of South Africa and that implements particularly appropriate to Lesotho should be developed. These could then be produced for sale by BEDCO supported enterprises. Any judgment whether to add engineering expertise must, of course, take into account existing regional and country activities in appropriate technology. Second, there is a push from some quarters within the team and within the GOL for adding a nutritionist to the team while doubt exists within other quarters and within USAID with respect to the contribution the position could contribute to the central farming systems objectives of the project. This should be reviewed. Third, the range management position was never fully written up and cleared by all parties. Further, while the range management specialist replaced the conservation engineering position identified in the project paper, the conservation engineering tasks remain within the project scope. These omissions and discrepancies should be corrected and the duties of all positions should be reviewed and updated as necessary to conform to current needs. This is especially important for those positions where personnel may be changing. In particular, the information specialist position is to shift per the original project plan from a more editorially oriented to a more extension oriented focus during the project's next stage. Fourth, the position of administration specialist is due to be phased out with the departure of the incumbent at the end of his tour in June 1981. Some think this position should be filled through local hire while others indicate it should be continued as is. Early review and decision is needed.

A number of factors associated with the team's recruitment and placement have appeared to prevent operations from commencing as smoothly as they might have. First were delays in the contracting process. Second, the team members did not arrive in the sequence that was originally planned and which has since been validated by the team's experience. That is, rather than the initial arrival of the team leader, administrative officer, and a key technician to facilitate initial planning and commencement of operations, the members arrived in a more random and bunched up sequence. Also, the social analyst and the farm management specialist arrived too late for full coordination of initial technical and survey activities. Third, it was suggested by some interviewees that the WSU recruitment process did not take team building sufficiently into account

and that the variety of reasons impelling the various individuals to join the project makes it more difficult for the team to undertake collective efforts. This factor appears to be enhanced by the individual research proclivities and experience of several of the team members. Fourth, the AID contract with WSU requires that 80% of the field team be recruited from WSU - which may be beyond WSU's capacity to meet without recruiting persons whose technical specialties, background, and interests may not conform to the highest extent possible to project requirements. Fifth, team operations have been hampered by late availability of concomitant inputs such as office space, Basotho extension assistants, and Basotho counterparts. Finally, nearly all WSU team members contrasted AID's insistent exhortations for the team to arrive in Lesotho immediately with the comparative lack of preparation for the arrival - both with respect to housing and other support and to project implementation. This inconsistency and lack of preparation has contributed to team feelings of frustration and a certain lack of trust. The long term delay in filling the vacant USAID agricultural officer position just prior to and after the beginning of project operations delayed making improvements in the situation. This evaluation is one of a series of steps by the current project manager to establish an overall view of the project situation and work toward resolution of outstanding problems - including those clearly beyond the WSU team's terms of reference.

Beyond the above factors involved with organization and scheduling, several Basotho interviewees stressed the need for individual team members to be sure to go out of their way to interact with their Basotho co-workers both professionally and socially so as to help their co-workers become aware of and comfortable with them. Three of the team members (with widely differing personal styles) were mentioned as being good in this regard.

(2) Training

To strengthen the capability of the Research Division as a whole and its on-farm research capacity in particular, four long-term participants at the B.Sc. and M.S. level were to have left in 1978, four in 1979, and two in 1980. Actual results have been far less than this, with one trainee returning in May 1980 with an M.S. in Agricultural Economics to assume directorship of the Division and a second due to return in June 1981 with a B.Sc. in Agricultural Extension and Animal Husbandry. Four technicians have taken short courses in extension and research.

To alleviate the situation, which has contributed to the severe personnel shortages in the Research Division, fourteen potential candidates have been identified by the GOL for possible departure by January 1981. The WSU team has identified an additional three to five persons within the Division whom they think would be suitable for further training. While the GOL candidates appear to have the paper qualifications, they come from outside the Division and their work experience and performance is of unknown quality. The persons identified

by the team, on the other hand, appear to be slow in receiving formal clearances even though their work performance is judged good by the WSU team. An immediate joint review and selection of candidates by the WSU team and the GOL is needed if further delays are to be avoided.

(3) Planned and actual completion of project construction is as follows:

Item	Number	Planned Completion Date	Actual Completion Date
a. Office/Library	1	April-June/1979	Occupied but not completed June 1980.
b. Field Sheds	3	"	Currently in pre-tender stage.
c. Senior Technician Housing - Maseru	6	"	September 1979
d. Field Staff Housing	6	"	Currently in pre-tender stage.

The major problem seems to be excess demand upon both the Ministry of Works (MOW) architectural and construction management capacity and the local construction industry. While this is no solace to the project personnel, the problem may be easing with a leveling off demands for construction and expansion of capacity by the MOW and by the construction industry. Further, this project is turning to a private architect for services that would otherwise have been provided by MOW.

(4) Commodities

The WSU team Chief of Party and the Administrative Officer report that while there are individual delays in the arrival of AID procured vehicles and other commodities, these do not constitute a major constraint on project operations and that commodity procurement is generally on schedule. Such delays as do occur generally lie with the supplier. Technicians on the WSU team express frustration at the apparent inability to have commodities purchased and delivered on an as needed basis. The Administrative Officer pinpoints this frustration as arising from source and origin requirements and delays within the GOL with respect to registering vehicles. A second frustration involves delays in fully defining commodity and equipment needs - for example for the soils laboratory where equipment breakdown has halted analysis of soils samples for the past several months - and in processing equipment orders through the MOA.

(5) Other Costs

a. Budgetary Support - Arrangements among USAID, the GOL, and WSU have not yet been made and in the absence of such arrangements,

the contract team has engaged in the direct payment of those services needed to undertake Phase III. Planning and budgeting for those items to be included under budgetary support was to have been a joint USAID-GOL-Team effort. There is confusion among WSU team and MOA staff on what is involved and how to proceed. The USAID Project Officer will issue an implementation letter defining requirements and procedures and provide follow-up support to resolve the matter.

b. Guarantees for Cooperating Farmers - The guaranty program cannot be undertaken until the GOL research extension agents are in place and the activities in the prototype areas become fully operational. Further, several of the team members expressed doubts concerning the wisdom of such guarantees. They remain an issue to be resolved. The WSU team will review the issue and make formal recommendations following the end of the current cropping season.

c. Vehicles Operations and Maintenance - This is funded and arranged under the contract and is reported by the WSU team Administrative Officer to be proceeding smoothly.

d. Computer Services - To be funded directly under the contract if GOL computer time not available. No problem is envisioned.

e. Secretarial Services - They are in very short supply for the division as a whole. Reportedly, the Research Division has not a single typist or even a position for a typist qualified to meet official GOL standards. The team has thus used contract funds to obtain locally its own secretarial services.

B. GOL

(1) Training Support - The GOL has provided full training support for the two long term and several short term participants sent outside the country for training. It has identified fourteen potential participants to make up previous and existing shortages, although the qualifications of these persons have not been thoroughly reviewed and it is not known how many can be placed. Early review and placement was recognized by WSU team members as an urgent need, but there were no firm plans for doing so at the time of the interview.

(2) Farming Systems Research Support - Building site maintenance has been provided. Extension assistants were made available a year late, contributing to a corresponding delay in development and initiation of preliminary programs in the prototype areas. At the time of this evaluation only four out of six research extension assistants were actually available for field work, a fifth was on medical leave, and the sixth was not yet named. Both WSU team members and GOL staff agreed programming and drawing down temporary wages were not being performed expeditiously and that further examination is needed to identify the reasons and devise solutions.

(3) Farming Systems Program Support - This is a joint function of USAID, the WSU team, and the GOL and has not yet been budgeted and delivered in an organized way. The USAID Project Manager is taking immediate steps including issuance of an implementation letter and follow up actions to correct the situation.

(4) Land - Has been provided for construction sites for the official buildings, for staff housing, and for field research plots in the prototype areas.

(5) Furnishings - As of September 1980, not all of the furniture for which the GOL is responsible has yet been provided to the offices/library building despite USAID offers to pay and then be reimbursed. The delay, like the delays in registering vehicles, appears to be part of a general GOL operational weakness in performing general services functions. Furnishings for staff housing have been provided generally on schedule according to standard GOL regulations.

17. Outputs

None of the outputs is scheduled for completion in the current Phase III. Work has begun on all of them, however, with the various outputs in various stages of completion. A status review of the individual outputs follows.

A. Establishment of Farming Systems Research Unit - as of now the unit has not been established nor is it clear to those involved how it is to be established. During project design it was generally thought that the unit would include headquarters personnel whose primary duty would be farming systems research as opposed to the research station oriented research. Central MOA altered this approach during the period immediately prior to arrival of the project team by deciding to integrate the farming systems personnel into the division as a whole rather than formally establishing a separate section. Basotho staff report, however, that the decision has not been formalized through official written notice which would also include the pertinent operational guidelines. Other Basotho staff indicate, further, that whether or not a separate farming systems unit is established, it will not be workable to have the same high level professional working on farming systems and at the research station. The reasoning behind this opinion is that because of the low skill levels of the persons actually doing the research work in the prototype areas and at the research station, they require constant supervision. This supervision cannot be given by persons on the move between the two locations.

In view of the lack of staff for the Division as a whole, the technical assistance team is more and more acting as a de facto farming systems unit. The team is planning to have the analytical basis for determining research priorities through use of both social and economic cost-benefit techniques established in July 1981 (the 12/79 date in the project paper would have been unrealistic even had all the inputs arrived

on time). It has, with Division management, established preliminary links with the world-wide research institutes and is working toward full fledged working relationships as laid out in the project paper. Final institutionalization of these measures is, of course, dependent on recruitment and training of Basotho personnel. That is, without Basotho in place and maintaining the relationship prior to departure of the WSU team, the relationships will drastically be reduced and probably be terminated with the departure of the WSU team.

B. Farming Systems Program Developed and Tested by the End of Second Crop Year (Phase IV)

The project is now entering its first full crop year for Phase III activities - one year behind schedule. Phase II activities with respect to launching the program in the three prototype areas essentially have been completed. Phase III activities during the current cropping year will focus on the introduction of demonstration range management practices, cropping patterns and practices, and animal management practices, including fodder production. Some of the specifics are as follows:

(1) Range Management - the exact plan of action is not yet completed, but the general thrust is to work with villagers in developing visual examples of improved practices that are consistent with the land tenure system. Three villages have agreed to undertake these experimental activities.

(2) Cropping patterns and practices - the team agronomist is, with the research extension assistants and villagers, planting test plots at all three prototype areas. These plots will involve new varieties introduced on a small scale and new cropping methodologies. The latter includes post harvest plowing and higher plant populations. The distance of the prototype areas from Maseru and involvement in research activities at the research station prevent the agronomist from doing the detailed work with the farmers that he had envisioned. This detailed work may be performed by the extension assistants if arrangements can be made.

(3) Animal management - as the management specialist arrived only in February 1980, his approach is not yet fully developed although a preliminary assessment has been made and a draft proposal has been submitted to the team leader. The suggested approach is to undertake a two pronged approach - doing field research with the farmers supplemented with technical research conducted at the Lesotho Agricultural College. The specialist is now in the process of contacting farmers to develop a plan of action with activities to commence during the coming crop season. The main focus initially will be feeding research for cattle, sheep, and goats. The work will be coordinated with and complementary to the range management efforts.

In addition to conducting preliminary tests on the ground, team members are undertaking two parallel efforts to develop individual activities into a full farming systems approach. To set the basis for drawing the individual research efforts into a team activity, the recently arrived (June 1980) farm management specialist is (i) reviewing existing production systems in the three prototype areas, (ii) setting up basic farm record cards for the three prototype areas, and (iii) reviewing with the three production technicians ways to combine their activities into a singular team approach. The approach is to concentrate first on field work so as to have a working approach to incorporate into the research system later on. Efforts are under way to recruit assistants for work in the field. Concurrent with these efforts in the field are general survey efforts to gather micro-information for base line surveys and perform formal group analysis.

The second parallel effort recognizes that the enterprise mix selected for a given area depends also on marketing and other institutional factors beyond the area itself which have to be taken into account. Accordingly the team is researching input, extension, and marketing constraints. This effort will take the views of District Agricultural Officers and other District Agricultural staff into account and will result in recommendations for Ministerial consideration by February, 1981.

C. Strategies for Reaching Farmers. The team is now reviewing and documenting the different ways in which the farmers receive information. It is also in the process of establishing a dialogue between the extension agents and the research division. Part of this effort is the publication of the "Thunderbook", a loose leaf binder containing different articles published by the research division and other technical divisions. New articles containing technical information for Basotho farmers - to be passed along by the extension agents - will be published as the information becomes available, problem arise, and the articles can be written. These initial activities do not yet appear to have been developed into a proposed strategy - which will have to take into account the information approaches being taken by such major development projects as BASP.

D. Trained Basotho Personnel - Training is behind schedule as depicted in Section 13.A.2. Only one third of the Research Division's technical positions are filled, meaning that the technical assistance team is doing much of its work in the absence of counterparts. Those counterparts who eventually join the project will not have participated in development of the approaches settled on. Thus, a major potential benefit of the program - Basotho with genuine development experience - will be lost.

E. Research and Information Data Base - including collection and analysis of previous research, baseline studies of farming practices, incomes, and social attitudes, and continuous series of technical, economic and social surveys all resulting in a formal process of documenting and reporting research within the FSR unit. Team efforts are underway in each regard. The WSU team reports that there is much

less previous research available with respect to varietal trials, fertilizer testing, etc, than was thought during the course of project design. No range or animal science research was available. Further, in many cases previous research findings had been transferred to CYMMT, Bethlehem, and central headquarters. This has meant extra work for the team in gathering and organizing available information at the Research Division. It also means that the WSU team's initial field activities are much more basic and elementary than originally planned. That is, they involve varietal trials, fertilizer rate studies, animal nutrition trials and range vegetative succession trials rather than actual research on the systems usable by farmers.

F. Agricultural Research Library - The library appears to be well underway with the facilities established, materials being gathered, and a Mosotho in place learning operations and being prepared to assume control. However, this person is employed by the WSU team as the GOL has not yet created a formal position. A review of library holdings for completeness and applicability should be performed by the 1981 outside evaluation team.

18. Project Purpose

While the WSU team and their working level colleagues have undertaken activities in support of the individual outputs, it does not appear that a policy, organizational, and operational framework or operational momentum yet exist to the extent required for achievement of the project purpose. Further, as mentioned in Section 18 B below there is room for doubt whether actions now being taken toward project objectives are being taken systematically. There is also some doubt whether all the activities that are being taken are central to achievement of project objectives. A short review of needs and recommended steps follows:

A. Needs - GOL

From the technical assistance team's point of view, the institutional basis for the project has not yet been established sufficiently to lend legitimacy to the research efforts of the team or of the Ministry. According to this view, the Ministry needs a widely recognized policy approach to research, agreement on the apparatus to realize its policies, and systematic establishment of the organization, staff, and procedures that would constitute that apparatus. With regard to staff the main problem is to recruit for positions already established and budgeted which would mean a minimum of additional recurrent costs.

The project documents provide an initial step toward a research policy statement by mentioning types and areas of research priority. The type of research emphasized is applied research for comparatively rapid results for small scale farmers. The documents indicate small scale crop production, range management, and animal maintenance and production as the priorities of research.

While they do provide a starting point, these documents are inadequate as a policy statement. They are sketchy, lack concreteness,

are not formally distributed and accepted through official channels and are not known to all of the concerned individuals. Consequently, the project is subject to misrepresentation and misunderstanding at many levels with, for instance, wrong information reportedly being spread regarding promises of material support that the project is unable to deliver. There appears to be a lack of systematic identification and selection of questions to be researched. Individuals in the research network are left comparatively free to follow their own interests without regard to national priorities. Other divisions in the MOA consequently cannot take full advantage of research to further their own efforts and those of the Ministry as a whole. Even Parliament is understood to have expressed its displeasure, requesting concentration, focus, and direction to research efforts.

Concurrent with policy development should be fleshing out of organization and procedures necessary to advancement of policy interests. Immediate improvements appear to be possible through formalization and official dissemination of decisions that reportedly have been taken. For instance, the WSU team agronomist reports being instructed to work in collaboration with the crops division but that the latter apparently did not receive similar instructions or information. Direction on the extent to which farming systems is to operate as a separate entity and its relationship with the rest of the research effort reportedly has been sketched out at meetings but not fleshed out and formally disseminated - leaving confusion and divergence of opinion about working relationships and direction of effort among those interviewed by the evaluation team.

A second source of immediate improvement - especially in increasing operational momentum under this project and throughout the Research Division - will stem from continued consolidation of the position of the Division Director. The authority and capacity of this position have been seriously weakened and operational momentum severely curtailed in the past two years by frequent rotation of acting directors - five since July 1979 - combined with rapid turnover among key division staff. Continuation of the recently assigned incumbent in the position along with the above policy and organizational development measures, judicious professional advice as needed, and universal respect for the legitimate powers of the position should combine to permit reaching and implementing decisions quickly. Thus would some of the more serious bottlenecks pointed out in Section 17 on Outputs be removed.

Beyond immediate measures is the need to look toward the ultimate organizational and operational setting for agricultural research. Individual organizational components such as the Research Division and the Research Station are in place, if not fully staffed. What is needed next, according to the WSU team, is a coordinating mechanism - team members suggest a research council including public and private entities with a formal designation of roles.

B. Needs - WSU Team

The preceding represents a short, interpretive summary of

gleanings derived primarily from interviews with the WSU team members but with added comments from Basotho MOA staff. Neither the situation and its needs nor the efforts by the WSU team to meet the situation appear to have been analyzed and presented to the Government and USAID systematically. This lack of systematic communication lies at the root of the most frequent criticism made of the team, by MOA staff and others - that it is difficult to understand what the team has accomplished and what activities it is undertaking. This lack of information has contributed to uncertainty in USAID and the GOL about project status and what support is required. In response to this point, WSU team members indicated to the evaluation team that it has taken the team up to now to form an overall view of the situation and form its own opinions regarding necessary steps. Now that the team is arriving at that stage, the evaluation team strongly urges that the team provide an analysis of the situation with regard to research, including recommendations, so as to help the GOL and USAID clarify their thinking and provide all possible support.

A second suggested step is for the team to lay out and publicize systematically the actions they are taking to achieve project objectives and meet the needs presented in their analysis of requirements. In carrying out such actions (as opposed to publicizing them) the evaluation team urges broader and more systematic contact with all GOL officials concerned. These would include, in addition to GOL officials in the technical chain of command and counterparts, other concerned officials such as the MOA's project coordinator, the manpower development officer, and the budget officer. The purpose of such broader contact and closer working relationships would be to solidify the development process. On the other hand, some WSU team members indicate that they have been admonished to stay within narrowly defined channels for both oral and written communication and are thus reluctant to broaden their range of working associates.

This step should contribute to three urgently needed benefits. The first is to lend discipline to the team's selection of individual activities and gain the necessary concurrences for these activities. For example, there is some concern within USAID over the emphasis being given to nutrition research at this stage of the project. USAID's primary concern is that all project activities are closely scrutinized to assure that they contribute to the overall goal and objectives of the project. The second is to demonstrate vividly to Basotho in the Government and in the prototype areas the benefits to be gained from the project and thus engender support for it. This presupposes, of course, that the project will have access to its legitimate GOL audience. The third is to encourage other divisions in the MOA to take advantage of project activities in support of their own efforts.

19. GOL/SUBGOAL - Not pertinent at this time.
20. BENEFICIARIES - Not pertinent at this time.
21. UNPLANNED EFFECTS - Not pertinent at this time.

22. LESSONS LEARNED Not pertinent at this time.

23. SPECIAL COMMENTS OR REMARKS - Not pertinent at this time.

Summary Project Phasing Schedule

<u>PHASE</u>	<u>DESCRIPTION/ACTIONS</u>	<u>APPROXIMATE TIME</u>
Pre-Project	GOL, Thaba Bosiu, SADPT, LASA staff investigations; AID/Washington review of PP.	to 4/78
I	Research administration, cooperator negotiations, procurement, construction, cooperator visit.	4/78 to 12/78
II	Start-up phase, cooperator staff arrival, prototype area selection, conservation planning.	1/79 to 7/79
III	Research testing/analysis/surveys, extension/training, detailed implementation plans, field construction.	8/79 to 7/80
IV	Field testing, prototype implementation recommendations, village contacts, conservation, major evaluation.	8/80 to 7/81
V	Prototype testing, review and modifying systems, establishing capability for continuation/replication of farming systems, final evaluation. End of Project.	8/81 to 4/84

Phase I (April 1978 - December 1978)

This phase will be the period of time between the signing of the initial Project Agreement and the arrival of the first elements of the Cooperator's field team. Activities during this phase will be primarily those of the GOL, including:

<u>ACTIVITY</u>	<u>STATUS</u>
1. Initiation of construction of technician housing, office space, laboratories, and library;	1) Maseru houses 6 months late, 2) library/offices 1 year late, 3) field construction still in pre-tender prelims - 2 years late.
2. Establishment of recurrent budget	Never done - USAID hasn't participated. - Need get together. - Perhaps Imp. Letter.
3. Final identification of Basotho staff members	Never done - USAID needs work out recruitment program with WSU & MOA, including Manpower officer.
4. Selection and departure of initial U.S. trainees	Way behind per input chart - same as above.
5. Acquisition of office furnishings	GOL hasn't provided all for Library/offices. USAID to purchase upon receipt of letter from DPS/A.
6. Approval of Cooperator field staff	While contractor staff arrived late as indicated input schedule on page 8-9, GOL approval, although slow in some cases, were not a major cause of the delay.
The following actions, in addition to providing funds for the construction mentioned above, will be accomplished by AID and the Cooperator:	
7. Final negotiations with Cooperator (in conjunction with the GOL);	Delayed 6 - 8 months - which jammed up team arrival.
8. Initial acquisition of commodities designated for local procurement (véhicles, equipment, office machines);	Generally OK.

9. Processing of initial U.S. trainees; Two out of four - see 3 and 4 above.
10. Project preparation visit by Cooperator for familiarization and preparation of work plan for Phase II. Administrative Officer came. Without COP work plan not prepared.
- Phase II (Jan. 1979 - July 1979)
- In addition to routine administrative and logistic matters relative to project start-up, the Cooperator's team and their counterparts will be engaged in the following activities:
1. Assimilation of the Farming Systems Investigative Program of the Thaba Bosiu Project (including familiarization, analysis and continuity); Informal - not as much info as thought - loosely done reports.
 2. Final selection of the project areas; Selected on time vis a vis other activities - but some question whether two are appropriate.
 3. Initiation of contacts with village leaders in project areas; First round of Pitso's held 10/79. Second round held 2/80.
 4. Initiation of coordination and familiarization with MOA divisions and MOA projects; Familiarization, but little real understanding or coordination - see comments above.
 5. Collection of existing data and initiation of analysis; Underway.
 6. Identification and procurement of project commodities; Appears to be generally O.K. with some exceptions - see comments above.
 7. Initiation of library development; Delayed but well underway.
 8. Initiation of contacts with international research centers; Delayed but well underway.
 9. Preparation of Work Plan for Phase III. Never done.

While the specific project activities described above are carried out, the following activities will be started:

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| 10. Initiation of conservation activities in project areas (land use, plans, soil surveys, communication with farmers, etc.); | Underway but limited in scope. |
| 11. Establishment of role and responsibilities of other MOA divisions in project areas. | Initial guidance given but not formally and systematically established. |

Phase III(August 1979 - July 1980)

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| 1. Continued review and evaluation of existing information; | See previous No. 1. |
| 2. Formal systems of documentation and reporting of research results established; | FSR - initial steps taken. |
| 3. Social and economic baseline data collected and analyzed; | To be done 1980 - 1981. |
| 4. Baseline survey and analysis of rural attitudes and aspirations completed; | Same. |
| 5. Rural people/groups prepared for prototype operation; | Same. |
| 6. Field tests; | In process. |
| 7. MOA field staff in prototype areas intensively trained; | Commencing in 1980 -1981. |
| 8. Farmer guarantee policy cleared by GOL and agreed with participating groups/individuals; | Not yet done. |
| 9. Engineering analysis of most effective tillage/cultivation practices techniques made (consultants). | Not yet done. |

Routine AID-Cooperator actions will continue such as:

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| 10. Internal GOL coordination; | |
| 11. Initiate construction of field staff facilities; | Still in pre-tender stage. |

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| 12. Preparation and approval of work plan and budgets; | Not done. |
| 13. Participant training actions; | See previous. |
| 14. Purchases of local cost support items. | Underway by WSU. |

An evaluation is scheduled for January 1980 to review the status of the prototype operation proposals to be rescheduled.

Persons Interviewed

1. James Tiedeman - WSU Team Range Management
2. Earle Klosterman - Animal Mgmt Specialist
3. Keith Brandon - Admin. Officer
4. Joel Plath - Farm Mgmt Specialist
5. Seth Beckerman - Information Officer
6. Winston Nt'sekhe - Director, Research Division
7. Lola Kotsokoane - Research Officer, Research Division
8. Robert Butler - Team Leader
9. Al Law - Agronomist
10. B. Mkhize - Deputy Director, Research Division
11. Lorna Butler - Sociologist
12. J.Z. Molapo - Deputy PermSec/Admin. MOA
13. Obed Sedikane - Deputy PermSec/Tech. MOA
14. Chaka Ntsane - PermSec/MOA
15. Margaret Norton - WSU Team Librarian
16. Kenneth Sherper - Assistant Director, USAID

All interviews were conducted individually with no other person present.

FARMING SYSTEMS RESEARCH

<u>Position</u>	<u>Location</u>
Team Leader	Research Station
Information Officer	" "
Admin. Officer	" "
Sociologist	" "
Animal Mgmt Specialist	" "
Agronomist	" "
Farm Mgmt Specialist	" "
Range Management	" "
(WSU Gra. Student - Range Mgmt.)	" "
Marketing Specialist	" "

Recommended Actions

Action	By Whom	Completion
1. Prepare long-term and short-term training plan (Internal/External)	WSU/GOL	Dec 31, 1980
2. Develop and implement an appropriate reporting system utilizing work plans, accomplishments, etc.	WSU	Immediately
3. Prepare plan for use of consultants.	WSU/GOL	Dec 31, 1980
4. Prepare a long-term comprehensive project plan of action that includes specific objectives for each WSU team member	WSU/GOL	Dec 31, 1980
5. Prepare a plan of action for each prototype area.	WSU/GOL	Dec 31, 1980
6. Analyze and prepare a written report on relevant research already conducted in Lesotho.	WSU	Dec 31, 1980
7. Develop and begin to implement plan for establishing permanent relationship with appropriate Int. Research Org.	WSU	ASAP
8. Prepare Lab and other equipment/commodity purchase plan (annual)	WSU/GOL	Dec 31, 1980
9. Establish all necessary positions and develop recruiting, staffing and in-service training plan for RD staff	GOL	Dec. 31, 1980
10. Appoint qualified counterparts and Ext Assistants.	GOL	Immediately
11. Clarify communication channels and procedures for FSR staff	GOL/WSU	Immediately
12. Assure Research Office Building construction completed.	GOL	Immediately
13. Review overall management organization, coordination, functions, and operating procedures of national research programs, which should lead to the development of coordinated national research policies and priorities & formalization of the functions of the Research Div.	GOL/USAID	Jan. 8, '81

Action	By Whom	Completion
14. Provide adequate budget planning and support for Research Division activities	GOL	Immediately
15. Establish level of decision making for routine day to day project activities	GOL	ASAP
16. Develop terms for reference for external evaluation and possible modification of project scheduled for March 1981.	USAID	DEC 31, '80
17. Establish a budget for AID and GOL contributions to recurrent support items.	AID/GOL	Immediately