

**MICROENTERPRISE BEST PRACTICES (MBP)**

**YEAR ONE WORKPLAN**

Development Alternatives, Inc.

July 16, 1996

## **Microenterprise Best Practices (MBP) Project**

### **Year One Workplan March 26, 1996 - March 31, 1997**

#### **A. OVERVIEW**

This is the first annual workplan for the Microenterprise Best Practices (MBP) Project, Contract Number PCE-0406-C-00-6004-00. It covers the period from March 26, 1996 through March 31, 1997 and spells out the deliverables that will be produced in this time period. This report is a required deliverable of the MBP contract.

This workplan is based upon the Development Alternatives, Inc. (DAI) technical proposal, plus revisions made in a three-day workplan session during the week of April 22-26, 1996.<sup>1</sup> Given that the project is still in its initial planning stages, it is anticipated that this workplan will be revised after six months of implementation. These changes will be reflected in the quarterly reports submitted by DAI to AID's Global Bureau/Economic Growth Center/Microenterprise Development Office (G/EG/MD). Quarterly reports are due two weeks after the end of each of the quarterly periods:

Quarter 1:	March 26, 1996 - June 30, 1996
Quarter 2:	July 1, 1996 - September 30, 1996
Quarter 3:	October 1, 1996 - December 31, 1996
Quarter 4:	January 1, 1997 - March 31, 1997

It is anticipated that changes will be of two varieties. First, additional clarity will be available later in terms of actual content of many of the deliverables discussed here. Second, additional outputs may be generated in Year One, should implementation move forward more quickly than anticipated.

In Section B, the Workplan briefly lays out the overall structure and purpose of the MBP Project. Section C identifies Year One tasks and deliverables by project component. As this is the start-up year for the MBP Project, special attention is given to development of protocols, systems, and methodologies which lay the groundwork for the overall performance of the MBP Project. Section D examines personnel, contractual, and budgetary issues in greater depth.

#### **B. MBP BACKGROUND**

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<sup>1</sup> The April 23 meeting was attended by Elisabeth Rhyne, Victoria White, and Heather Clark from USAID; Claudio Gonzalez-Vega and Douglas Graham from OSU; Maria Otero from ACCION; Robert Vogel and Clifton Barton of IMCC; and Joan Parker, Jeff Poyo, Jimmy Harris, Abigail Golden-Vázquez, and Wes Baker of DAI. The April 24 meeting was attended by the forenamed DAI staff and Victoria White, USAID. The April 26 meeting was attended by Jeffrey Poyo, Jimmy Harris and Joan Parker of DAI; Victoria White of USAID; and Candace Nelson of SEEP.

## **B.1. General Information**

The five-year MBP contract was signed on March 25, 1996 between the U.S. Agency for International Development (USAID) and DAI. In addition to DAI, the prime contractor, the MBP implementation team includes seven subcontractor institutions: ACCION International, FINCA International, Opportunity International (OI), the Small Enterprise Education and Promotion Network (SEEP), Ohio State University Research Foundation (OSU), Harvard Institute for International Development (HIID), and International Management and Communications Corporation (IMCC).

MBP is one project component of the larger “Microenterprise Innovation Project”, or MIP. MBP is the component of MIP dedicated to advancing the frontiers of knowledge in the microenterprise and microfinance field. The explicit objectives of the MBP project are to expand the overall knowledge base of the field, to improve the design and implementation of USAID-supported projects in the field, and to provide microenterprise practitioner institutions knowledge that improves their performance and support of the microenterprise sector.

Tangible indications that MBP has achieved these objectives include the incorporation of MBP findings into the design, operations, or funding decisions of practitioners and donors; demand for MBP products; and citations of MBP work by other practitioners and donors. In addition, impact of the MBP project will be felt in terms of a forward movement of the state-of-the-art in this field, and in the continuity of capacity building and information exchange systems supported by the MBP Grant Facility beyond the end of the MBP support. The project will accumulate evidence on these indicators over the life of the project as part of the LotusNotes project monitoring system.

The project is divided into four operational components: research activities; information sharing activities; a grant facility; and project management. Figure 1 outlines these four components in relationship to the overall project objectives and indicators of success.

## **B.2. Project Components**

### **B.2.a. The Management Component**

Management of the MBP contract involves development and maintenance of financial, contractual, and technical information systems; establishment of protocols for all phases of work; provision of intellectual leadership to guide the overall research activity; production of required management reports; and maintenance of efficient communication between all parties. Tasks under this component are particularly time-consuming in the start-up year of the project. This year includes the development of subcontracts; construction of all management and administrative systems; orientation of multiple institutions in all phases of the work, and the development of a shared vision among all project participants.



The MBP management team includes five individuals at DAI. The Technical Director (Jeffrey Poyo) has responsibility to provide technical leadership and direction for the Research Component, as well as ensuring the quality of products. He is also responsible for the technical supervision of the Grant Facility. The Managing Director (Joan Parker) holds responsibility for contractual, financial, and administrative systems and reporting. In addition, she provides technical supervision to the Information Sharing component. These two individuals are listed as “key personnel” in the MBP contract.

The Information Coordinator (Abigail Golden-Vázquez) manages all Information Sharing activities; coordinates development, installation, and maintenance of all information systems (including the MIP Website); and organizes all MBP public events. The Grant Administrator (Jimmy Harris) undertakes all administrative tasks of developing, implementing, and reporting on the Grant Facility. The Project Administrator (Wes Baker) undertakes all other required administrative functions including processing of financial vouchers, subcontract task order development and tracking, requesting personnel and travel approvals, procurement of airline tickets, and submission of deliverables.

#### B.2.b. The Research Component

The Research Component covers 21 distinct research topics, and requires 103 research deliverables. At the time the MBP Statement of Work was written, the research topics were categorized as “Best Practice,” “Frontier,” and “Horizon,” depending on the state-of-the-art in each topic. “Best Practice” represents topics in which significant advances have taken place, where the major task is to further document and disseminate lessons already learned. “Frontier” topics are those just being explored, including those topics evolving the most quickly and setting a new standard for the state-of-the-art. “Horizon” topics are defined as those on the fringes of the field of microenterprise, which require tracking to capture the experimentation now underway.

Since the writing of the MBP Statement of Work, some of the “Frontier” topics have come into the current state-of-the-art in the field. Likewise, some topics originally categorized as “Best Practice” have revealed unanticipated and unanswered questions, which have pushed the topic back into an experimental mode. Due to these developments, these headings have become more of a management tool than a technical definition of the state-of-the-art. They are, however, maintained in project management and reporting due to contractual requirements.

#### B.2.c. The Grant Component

The MBP Project is tasked not only with advancing the state-of-the-art, but also ensuring that the worldwide practitioner and donor community actively participates in the process of learning, experimenting, and sharing. An important mechanism to allow this to happen is the MBP Grant Facility. The MBP contract includes a fund of \$2.4 million in grant monies, to be awarded on a competitive basis to practitioners in the field of microenterprise or microfinance. Grants are for three purposes: (1) capacity building activities for practitioner institutions; (2) information exchange visits to enhance the dialogue among institutions; and (3) pilot project implementation to explore new and innovative methodologies.

#### B.2.d. The Information Sharing Component

MBP is also tasked with sharing the most valuable information available in the field of microenterprise and microfinance development with practitioners and donors. MBP is constructing an electronic structure for information sharing -- a MIP homepage on the World-Wide Web. In addition to presenting all the MIP components, this site will house: abstracts and two-page summaries for each research deliverable under MBP; an annotated MBP publications list; and one-page briefings on each grant awarded.

DAI is exploring extending the understanding it developed under the GEMINI Project with PACT Media Services ("PACT Publications"), to serve as a commercial distribution channel for all MBP publications. This would ensure pro-active marketing of and ready access to these documents into the future. Finally, the MBP Contract also requires interactive information sharing through 20 seminars, workshops, and conferences.

## **C. YEAR ONE ACTIVITIES**

This section outlines anticipated Year One activities. In addition, contractual deliverables for each component are presented, along with projections of when deliverables will be completed. Budgetary estimates are provided by component.

### **C.1. MBP Management Activities**

#### **C.1.a. Project Kick-off and Planning Activities**

On March 29, 1996, the MBP management team was briefed by the G/EG/MD staff, including Elisabeth Rhyne, the MD Office Director, and Victoria White, the MBP Project Officer. This briefing served to inform DAI of the larger G/EG/MD agenda and the MIP structure, as well as to discuss general themes for implementation of the project. On April 1, 1996, the MBP Project Officer met with the Grant Administrator for an extensive discussion on the Grant Facility, revolving primarily around the composition and recruitment of the review committee.

On April 23, 24, and 26, 1996, the MBP team met for three all-day sessions to discuss Year One activities as well as general MBP protocols and systems. The core MBP team was present, as well as the MBP Project Officer. April 23 was dedicated to the Research Component; April 24 to the Information Sharing Component and administrative matters; and April 26 to the Grant Facility. Minutes of the April 24 and 26 meetings were shared with participants and used to solicit suggestions and feedback from the G/EG/MD Office Director.

A full MBP consortium meeting was held on June 12-13, 1996.<sup>2</sup> Results of initial activities were presented, along with the Workplan for Year One. In addition, the meeting serves as an opportunity to present the Website and LotusNotes systems to MBP partner institutions and conduct short training sessions on their use. Finally, the meeting served as a forum to begin full-consortium technical discussions on the ten Year One research topics.

#### **C.1.b. Management Reporting Deliverables, Year One**

The final version of the Year One Annual Workplan was purposefully delayed until the first two rounds of planning meetings in late April and mid-June were completed. It is hereby submitted as a contractually required deliverable.

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<sup>2</sup> Participants at the June 12-13 meeting came from all subcontractor institutions with the exception of HIID, plus USAID. The following individuals participated: Craig Churchill, Rachel Rock, and Maria Otero from ACCION; John Hatch, Lawrence Yanovitch, and Scott Graham from FINCA; Juan Benitez and Ken Koskela from Opportunity International; Candace Nelson from SEEP; Claudio Gonzalez-Vega, Douglas Graham, and Dick Meyer from Ohio State University; Lance Marston, Bob Vogel, Cliff Barton, and Dennis Sheets of IMCC; Victoria White and Elisabeth Rhyne of USAID; and Joan Parker, Jeff Poyo, Wes Baker, Abigail Golden-Vazquez, Wes Baker, and Matt Gamsler of DAI.

The project managers will also submit four quarterly reports for Year One. The first three will be completed during the Year One period; the fourth within the two-week period between April 1-15, 1997. These reports will record any further clarifications to this workplan.

The third management reporting deliverable is the Grant Planning and Management Document, discussed in Section C.3.a. below, and included in the budgetary projections of Section C.3. as well.

Table 1 provides information on the timing of these deliverables and compares them to contract deliverable requirements. It is expected that budgetary outlays for these tasks will match the Year One BAFO budget.

Table 1  
Year One Deliverable Schedule: Management Component

Category of Year One Deliverable	Estimated Number of Year One Deliverables	Total Number Required in Contract	Proposed Date of Submission to USAID
Year One Workplan (Q1)	1	5	6/15/96
Quarterly Reports (Q1, Q2, Q3)	3	20	7/15/96 10/15/96 1/15/97
Grant planning and management document	1	1	8/23/96

## C.2. MBP Research Activities

In a planning meeting on April 23, 1996, a team of seven MBP researchers and three G/EG/MD staff met to determine which topics would be chosen to kick-off the project.<sup>3</sup> Priority was given to topics that were of immediate concern to field practitioners and to those that are evolving rapidly and thus require immediate observation. Some weight in the selection process was also given to researcher availability. These decisions were vetted with the full project team at the June 12-13, 1996 meeting. In sum, the ten chosen topics most heavily represent Best Practice and Frontier research topics.

MBP research on any topic begins with the development of a conceptual framework. Building this framework is critical to ensuring the delivery of high-quality, carefully researched deliverables under this component. Concept papers are not required MBP deliverables. However, they are discussed in the contract as an important opportunity for dialogue and intellectual agreement between G/EG/MD, DAI project management, and the institutional teams undertaking the research. If given sufficient time and resources, this process will ensure the usefulness and quality of the required research deliverables. Concept papers will detail the

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<sup>3</sup> See footnote 1 for the list of participants.

parameters and substance of each topic area; place the proposed MBP work in the context of previous work on this topic as well as on-going work in the larger microenterprise development community; and make recommendations on content for the separate deliverables under the topic.

#### C.2.a. Concept Paper Development

Ten concept papers will be developed in Year One. For each of these topics, research can commence as soon as the concept papers are finalized and approved by the MBP Project Directors. Subject to the decisions in the Concept Papers, the deliverables outlined in this workplan may change, with specific deliverables moving forward or backward in the timeline. For this reason, DAI anticipates a Year One Workplan revision after the ten concept papers are completed.

There is also a possibility that additional concept papers may be developed in Year One, subject to special interests or needs. Discussions are currently underway to explore whether some topics currently slated for Year Two should instead be initiated in Year One.

#### C.2.b. Planned Research Deliverables, Year One

Table 2 below presents the ten topics chosen for Year One. For each topic, anticipated deliverables for Year One are listed, along with the institutions assigned to that deliverable and a rough calculation of the financial resources required. In total, 23 research outputs are anticipated for Year One: 10 concept papers and 13 deliverables required by the contract, with an expected expenditure of \$562,162.

Table 2  
Year One Deliverable Schedule: Research Component

Category of Activity (Topic)	Outputs Expected in Year One (by Quarter)	Institutions Conducting Research	Proposed Date of Submission to USAID
<b>BEST PRACTICES</b>			
1. Managing Growth	Concept Paper (Q3) Desk Review (Q4)	ACCION, FINCA ACCION	12/31/96 3/31/97
2. Loan Sizes, Lending Strategies, and Poverty	Concept Paper (Q2) Field Analysis (Q4)	FINCA, OSU OSU	9/30/96 3/31/97
5. Information Management	Concept Paper (Q2) Desk Study (Q3)	OI, DAI DAI	9/30/96 12/31/96
6. Special Financial Management Issues	Concept Paper (Q3) Technical Note (Q4)	ACCION, IMCC, DAI IMCC/DAI	12/31/96 3/31/97
<b>FRONTIER</b>			
7. Savings Services	Concept Paper (Q3) Case Study (Q4)	IMCC, OSU, FINCA, HIID FINCA	12/31/96 3/31/97
11. Village Banking	Concept Paper (Q2) Desk Review (Q3) Case Study (Q4)	FINCA, OSU OSU OSU	9/30/96 12/31/96 3/31/97
12. Evolution of Credit Methodologies	Concept Paper (Q2) Case Study (Q4)	ACCION, OSU OSU	9/30/96 3/31/97
13. Alternative Financing Mechanisms	Concept Paper (Q3) Review Paper (Q4)	ACCION, DAI ACCION	12/31/96 3/31/97
14. Non-financial Services	Concept Paper (Q2) Desk Review (Q3) Case Study (Q4) Case Study (Q4)	IMCC, SEEP, DAI IMCC SEEP IMCC	9/30/96 12/31/96 3/31/97 3/31/97
<b>HORIZON</b>			
16. Institutional Alternatives	Concept Paper (Q2) Desk Study (Q3)	OSU, HIID OSU	9/30/96 12/31/96
TOTAL: 10 topics	23 Outputs (13 Deliverables)	involving DAI and all seven subcontractors	

Measuring progress against contractual deliverables will be more relevant in subsequent workplans and will provide an important tracking guide. At this stage, listing planned deliverables is still useful to establish a baseline measure. Once the planned Year One research activities noted above are completed, the end-of-year project deliverables against contract

requirements will be as shown in Table 3.

Table 3  
Year One Planned Deliverables as Percentage of Contract Requirements

Type of Deliverable (by Research SubComponent)	Total Number Required by Contract	Number Planned for Year One	Year One as % of Contract Requirement
BEST PRACTICE			
Concept Paper	0	4	na
Desk Study/Review	2	2	100%
Field Analysis	5	1	25%
Review paper	1	0	0%
Technical Note	12	1	8%
Synthesis Paper	3	0	0%
Comparative Analysis	2	0	0%
Case Study	3	0	0%
FRONTIER			
Concept Paper	0	5	na
Literature Review	1	0	0%
Desk Study/Review	3	2	67%
Review Paper	9	1	11%
Technical Note	7	0	0%
Synthesis Paper	4	0	0%
Case Study	18	5	28%
HORIZON			
Concept Paper	0	1	na
Literature Review	2	0	0%
Desk Study/Review	6	1	17%
Review Paper	8	0	0%
Technical Note	6	0	0%
Case Studies	11	0	0%
Total Research Deliverables	103	13	13%

**C.3. MBP Grant Activities**

MBP Grant activities in Year One are of two varieties. The first half of the year is dominated by planning and design tasks. The second half of the year will include two grant solicitation, review, and award cycles, based upon the systems and procedures developed earlier in the year.

### C.3.a. Design of the Grant Facility

In order to fulfill its mandate, the Grant Facility must benefit from a careful, deliberate design process. For this reason, the first quarter of Year One is entirely devoted to the design of the facility, both in technical and contractual terms. Specific tasks for design include the following:

- 1• Develop objectives for each type of grant
- 2• Develop selection and eligibility criteria for each type of grant
- 3• Determine grant sizes and annual funding levels
- 4• Develop solicitation strategy
- 5• Determine reporting requirements
- 6• Determine screening and approval process
- 7• Determine Technical Assistance and Monitoring/Evaluation procedures
- 8• Develop overall administration and management procedures and systems
- 9• Draft boilerplate grant agreements

Early in Quarter 2, the Grant Administrator will compile the decisions on the above issues into the Grant Planning and Management Document, a required deliverable under the Management Component of the project. This document will be submitted to both the G/EG/MD Project Officer and the Contracting Officer for approval. While the initial solicitation may occur prior to approval of this document, grant review and awards must wait until this document is approved.

### C.3.b. Identification of Grant Review Committee

Central to the quality and credibility of the Grant Facility is the Review Committee. Year One tasks include the identification of a slate of nominees to serve on this committee. At the time of this Workplan writing, twelve nominees had been identified (all of whom had agreed to serve on the committee on a *gratis* basis) and a four-person committee already chosen.<sup>4</sup> As committee members will serve between one and two year terms, the remaining eight individuals may be candidates for later service on the committee and may serve as substitutes in this round. A USAID representative from G/EG/MD will serve as the fifth voting member of this committee.

### C.3.c. Grant Solicitation and Award, Year One

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<sup>4</sup> The following individuals were nominated (those with an asterisk were selected as the first-round Review Committee): Jeffrey Ashe, Working Capital; Marshall Bear\*, independent; Betsy Campbell, Ford Foundation; Peggy Clark\*, Aspen Institute; Ann Duval, independent; Teckie Ghebre-Medhin, UNIFEM; Mark King, ShoreBank; Joanna Ledgerwood, independent; Henry Jackelen\*, UNDP; Mohini Malhotra, CGAP; Bill Tucker\*, independent; and J.D. von Pischke, independent.

As required by the MBP contract, two grant solicitations will take place in Year One. The first solicitation will request proposals for Capacity Building and Pilot Project grants. The application period for these proposals will open in July 1996 and close in October 1996. Awards are expected to be made in November 1996.

The second solicitation will request proposals for Information Exchange grants. This application period will also open in July 1996, but will remain open with awards to be made periodically. The first awards are anticipated in August 1996, subject to approval of the Grant Planning and Management document.

At a Grant Facility planning meeting on April 26, 1996 attended by the MBP Project Officer, the DAI management team, and a SEEP Technical Representative, it was decided that, of the total \$2.4 million available for the Grant Facility, \$365,000 (or 15.2 percent of the total) would be budgeted for award in Year One. Year One deliverables, as shown in Table 4, are developed with this funding projection in mind.

Table 4  
Year One Deliverable Schedule: Grant Component

Category of Grant	Estimated Average Funding Level	Estimated Number of Year One Awards	Total Number of Grants Required in Contract	Year One Budgetary Projection
Capacity Building	Average of \$50,000	3	10-15	150,000
Pilot Project	Average of \$80,000	2	5-10	160,000
Information Exchange	Average of \$10,000	5-6	25-30	55,000
Total	na	10-11	40-55	\$365,000

#### C.3.d Grant Administration Year One Budget Projections

Administrative tasks figure prominently in the Grant Facility in Year One. Table 5 lays out key administrative tasks and anticipated dates for completion. Year One administrative costs to develop and run the Grant Facility are estimated to be \$93,531. Adding this to the \$365,000 proposed in grant monies, total estimated grant-related expenditures will come to \$458,531 in Year One.

Table 5  
Grant Activities Requiring Administrative Year One Spending

Grant Activity (by Quarter)	Purpose	Institution Involved	Proposed Date of Submission to USAID
Grant Facility planning, design, and maintenance (Q1-Q4)	Construct and maintain a complete system for grant solicitation, review, award, and administration; screen and document incoming proposals.	DAI SEEP	ongoing
Produce and mail solicitation announcement (Q2)	Undertake appropriate solicitation as per AID technical suggestions.	DAI	7/22/96
Committee Orientation and Grant Review (Q3)	Orient committee to objectives of grants and selection criteria. Review pre-screened grant proposals and make recommendations to AID for award.	SEEP Outside reviewers.	10/22/96

#### C.4. MBP Information Sharing Activities

As in the Grant Facility, Year One in an important period for establishing systems and protocols which will support activities throughout the project. In addition, the Project will undertake public events in Year One as required by the contract. The activities under this component can be broken into the following categories: (1) MIP protocol development; (2) computer system development; (3) publication series development; (4) public events; and (5) other information sharing tasks.

##### C.4.a. MIP Protocol Development

On March 29, 1996, MBP was tasked with information dissemination responsibility on behalf of the entire MIP family of activities. On April 30, 1996, the MBP Managing Director and Information Coordinator met with representatives of the other MIP components: AIMS, MicroServe, IGP, and PRIME.<sup>5</sup> This meeting laid out the importance of collaboration among the MIP components, and tasked the MBP Project with exploring the development of a single MIP information dissemination system and MIP Publication Series. In addition, a MIP Briefing Series was discussed, as well as the development of protocol for sharing documents between projects and the establishment of regular information-sharing meetings.

Since the April 30 meeting, two activities have moved forward. First, discussions are

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<sup>5</sup> This meeting was chaired by Elisabeth Rhyne, USAID, and attended by the following MIP representatives: Heather Clark, USAID, for PRIME Fund; Devorah Miller, USAID, for IGP; Victoria White, USAID, Joan Parker and Abigail Golden-Vazquez of DAI, for MBP; Roberto Castro, USAID, Wes Weidemann, Weidemann Associates, James Hochschwender and Arlene McMahon of Chemonics, for MicroServe; Monique Cohen, USAID, Carolyn Barnes and Anne Inserra of MSI, for AIMS.

underway with PACT Publications to carry the entire set of MIP publications. One technical issue yet to be resolved is development of a common lexicon for products that will be consistent across MIP projects.

Second, MIP partners unanimously agreed to have the MBP project create a single Website to house information and documentation from all MIP components. A meeting to determine general parameters was held at DAI on May 10, 1996.<sup>6</sup> At the end of the first quarter of the year, MBP will complete and launch a functioning, on-line MIP Website. To ensure the MIP identity, MBP has applied for and received the Website domain name, "mip.org".

#### C.4.b. Computer System Development

Two computer systems are to be developed, tested, and finalized during Year One. The first, an MBP contract deliverable, is the on-line network, or Website. The Website will hold information about all five MIP components as well as the MBP publications list, two-pagers, and abstracts (all of which can be down-loaded by readers). Initial design took place in May 1996, and the website was on-line as of July 2, 1996. MBP staff will also undertake a continual process of updating and revising the Website.

The Website system will have the flexibility to later incorporate on-line training and technical assistance; however for Year One, content decisions for such systems are on hold. Discussions are on-going as to whether the Website should be paired with an automatic response ListServe which allows downloading of documentation through a simple internet connection (without accessing the WorldWide Web).

The second computer system is for internal MBP information management. It will have two sub-systems: one for managing the Grant Facility (called the GMS, or Grant Management System) and one for managing all other project activities (called the TAMIS, or the Technical, Administrative, and Management Information System). Both are based on LotusNotes, a groupware product. TAMIS will be installed in all of the MBP partner institutions and at AID; GMS will be installed at SEEP and AID. TAMIS in particular will ensure an interactive process between the research "virtual teams", research managers, and other interested researchers on the project. This system will be in place for pilot testing by June 1996. Once it is fine-tuned, it will be launched at AID and the partner institutions.

#### C.4.c. Publication Series Development

This task is closely connected with the MIP discussions underway with PACT Publications (noted in C.4.a.). In Quarter 2, MBP will submit its proposed MBP commercial

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<sup>6</sup> This meeting was attended by representatives of three MIP components as follows: Victoria White, USAID, Abigail Golden-Vazquez, Joan Parker, Erika Dougherty, and Lester Diamond of DAI, for MBP; Roberto Castro, USAID, Wes Weidemann, Weidemann Associates, and James Hochschwender, Chemonics, for MicroServe; and Monique Cohen, USAID, for AIMS.

publication agreement with PACT Publications to the Project Officer and Contracting Officer for approval, according to contractual requirement.

Each MBP deliverable in the publication series will have three related outputs: the full publication (edited within DAI to ensure quality and consistency across products); a two-page synopsis of the content, approach, and findings; and an abstract. The first will be available through PACT, with the remainder available free-of-charge through the website or upon request. It is not yet determined which publications will be translated into other languages. Initial ideas are to translate the technical note series or the two-page synopsis series into French and Spanish. An alternative is to translate documents on a case-by-case basis. Decisions in this area will be included in a later workplan.

#### C.4.d. Public Events

The MBP contract specifies that one conference or training event will be held in Year One and will serve as an MBP dissemination tool. From a technical perspective, public events held to disseminate findings may be more effective if held after a critical mass of research activities have been completed. For this reason, DAI will request that the Year One conference deliverable be moved into a later project year.

MBP will hold three Year One seminars or workshops as stipulated in the contract. The management team from DAI and AID will meet in the second quarter to develop a strategy for the content of these Year One public events to ensure that they are used to maximum effect. Given the early stage of MBP learning, these events may serve as occasions to share or gather information, rather than as strict “dissemination” events.

The MBP contract requires that each event is tied to one or more Best Practice, Frontier, or Horizon research topics. In addition, it requires that half of the seminars and workshops be held overseas. As of the writing of this workplan, no final decisions have been made as to the content, timing, or location of these three Year One workshops.

#### C.4.e. Other Information Sharing/Publicity Activities

As part of developing public recognition of the project and its products, MBP developed a project logo to be used for all correspondence, the MBP page on the Website, and deliverables. Second, DAI will develop a simple and low-cost project brochure to be used for mailings and public events. MBP will also develop a mailing list which serves as a dissemination channel for project announcements, publication lists, or grant solicitations.

#### C.4.f. Information Sharing Year One Budget Projections

Table 6 shows the Information Sharing deliverables planned for Year One, with notations of the projected timing. Total budgetary requirements for Information Sharing deliverables and support activities are expected to be \$278,216 for Year One.

Table 6  
Year One Deliverable Schedule: Information Sharing Component

Category of Year One Deliverable	Estimated Number of Year One Deliverables	Total Number Required in Contract	Institutions Involved	Proposed Date of Submission to USAID
On-line document distribution network (Website) (Q2)	1	1	DAI	6/28/96
Establishment of publication series (Q2)	1	1	DAI	8/2/96
Seminars/Workshops (Q3 and Q4)	3	15	To be determined	To be determined
Two-pagers/abstracts	10	103	Institution undertaking research; DAI posts to Web	As research deliverables completed
<b>Total</b>	15	120		

Table 7  
Information Sharing Activities Requiring Administrative Year One Spending

Information Sharing Activity (by Quarter)	Purpose	Institution Involved	Proposed Date of Submission to USAID
MBP GMS/TAMIS System development and installation at DAI (Q1-Q2)	Provide a forum for active information sharing, full transparency, and accountability for DAI project staff.	DAI	6/13/96
MBP GMS/TAMIS System installation at AID and other partner institutions (Q2-Q4)	Provide a forum for active information sharing, full transparency, and accountability between research institutions, MBP technical directors, and USAID technical office.	DAI USAID Sub-contractors	ongoing
Development of MBP logo and brochure (Q1 - Q2)	Establish MBP project image and identity based on theme of "pushing back the frontiers of knowledge, widening the circle of participants in the dialogue."	DAI	8/15/96
Technical and administrative support of the above activities (Q1-Q4)	Ensure quality, content, and timeliness on all of the above activities.	DAI	ongoing

## **D. PROJECT AND FINANCIAL MANAGEMENT ISSUES**

### **D.1. Personnel**

Because of the award date of the MBP Project, the Technical Director, Jeffrey Poyo, is unable to join the project until June 3, 1996. Therefore, the project is understaffed for the initial two months of the implementation period.

As an efficiency measure, all MBP management staff work only part-time on the MBP contract. However, Year One expenditures are likely to be higher than the five-year average for the Information Coordinator and Grant Administrator due to start-up time required for system development.

No changes in key personnel are anticipated in Year One.

### **D.2. Contract Issues**

There is only one area in which this workplan deviates from Section C of the contract. Specifically, we suggest that the Year One dissemination/training conference be shifted from Year One into a later year. This is based strictly on technical reasons: to hold a dissemination event, a critical period of “learning” and “synthesizing” must first take place. It is unlikely that this critical level of information can be both developed and synthesized in less than twelve months. Given this change from the detail of Section C in the MBP Contract, DAI has requested approval from the Contracting Officer to make this change.

### **D.3. Budget**

Table 8 shows budget expenditures projected for Year One for the MBP project in its entirety. Across all activities, and including both grant and non-grant funds, Year One expenditure is expected to be approximately \$1,486,518. For non-grant funds only, annual expenditures are estimated at \$1,117,868. This figure translates into a monthly average design, management, and administration expenditure of \$93,156.

Year One total obligations are currently \$1,270,000. After subtracting the \$365,000 for grant funding (most of which will be expended in November 1996), remaining monies for design and administration are \$901,350. With an average monthly requirement of \$93,156, the currently obligated funding should be sufficient for 9.7 months of project operations, or through mid-December, 1996. DAI will notify the Project Officer and the Contracting Officer 60 days prior to spending 75 percent of the currently obligated funds.

Table 8  
Total Budget Projections, Year One

Category of Deliverable/Activity	Year One Budgetary Projection
Management Deliverables and Activities	183,960
Research Products	562,162
Grant Administration	93,531
Information Sharing Deliverables	73,234
Information Sharing Administration	204,981
Sub-total -- Non-grant funds	\$1,117,868
Grant Awards	365,000
Fee, Grant Facility (1%)	3,650
<b>Total Projected Expenditures, Year One</b>	<b>\$1,486,518</b>

ANNEX 1:  
QUARTERLY TABLES OF ACTIVITIES

Year One/Quarter 1  
 Activities and Deliverables  
 (March 26, 1996 - June 30, 1996)

Project Component	Quarterly Activities/ Deliverables (in <b>bold</b> )	Contact Person	Completion Date(s)
Management Component	Develop financial systems;	Wes Baker	ongoing
	Draft and submit subcontracts to AID for approval;	Teri Cardenas	6/3/96
	Conduct planning activities;	Joan Parker	4/26/96
	Develop Year One Workplan;	Joan Parker	5/24/96
	Conduct orientation meetings;	Joan Parker	6/13/96
	Develop relationships with MIP partners;	Joan Parker	ongoing
	<b>Year One Workplan;</b>	Joan Parker	6/10/96
	<b>One monthly financial report.</b>	Wes Baker	6/15/96
Research Component	Develop research priorities;	Joan Parker	4/23/96
	Develop concept paper structure;	Joan Parker	6/10/96
	Initiate concept paper development on six topics.	Jeff Poyo	6/17/96
Grant Component	Recruit Review Committee;	Jimmy Harris	4/26/96
	Design grant system;	Jimmy Harris	ongoing
	Develop grant management plan.	Jimmy Harris	ongoing
Information Sharing Component	Develop LotusNotes TAMIS system;	Joan Parker	6/14/96
	Develop logo;	Joan Parker	5/24/96
	Develop MIP information sharing protocols;	A. Golden-Vázquez	5/10/96
	Develop MIP Website with MIP partners;	A. Golden-Vázquez	ongoing
	<b>MIP WorldWideWebsite.</b>	A. Golden-Vázquez	6/28/96

Year One/Quarter 2  
Activities and Deliverables  
(July 1, 1996 - September 30, 1996)

Project Component	Quarterly Activities/ Deliverables (in <b>bold</b> )	Contact Person	Completion Date(s)
Management Component	Work closely with research leader teams to complete concept papers and mobilize research deliverables; Refine information management systems; <b>Year 1/Quarter 1 report;</b> <b>Grant planning and management document;</b> <b>Three monthly financial reports.</b>	Jeff Poyo	ongoing
		Joan Parker	ongoing
		Joan Parker Jimmy Harris	7/15/96 8/23/96
		Wes Baker	7/15/96 8/15/96 9/15/96
Research Component	Completion of six concept papers	Jeff Poyo	9/30/96
Grant Component	Complete GMS LotusNotes system; Finalize grant planning and management document; Solicitations for all grant types; Conduct first award cycle for information exchange grants. <b>2 solicitations;</b> <b>Award of first Information Exchange grants</b>	Jimmy Harris	8/1/96
		Jimmy Harris	8/23/96
		Jimmy Harris	7/22/96
		Jimmy Harris	7/22/96 onward
		Jimmy Harris Jeff Poyo	7/22/96 7/2/96 onward
Information Sharing Component	Develop MBP brochure; Develop initial strategy for three Year One workshops/seminars; Maintain WWW site; Roll LotusNotes system out to USAID; Roll LotusNotes system out to OSU and ACCION; Draft and submit to USAID DAI-PACT agreement for distribution of MBP Publications; Prepare for Quarter 3 workshop.	Joan Parker	8/15/96
		Joan Parker	8/15/96
		A. Golden-Vázquez	ongoing
		A. Golden-Vázquez	8/30/96
		A. Golden-Vázquez	9/30/96
		Joan Parker	8/2/96
A. Golden-Vázquez	ongoing		

Year One/Quarter 3  
 Activities and Deliverables  
 (October 1, 1996 - December 31, 1996)

Project Component	Quarterly Activities/ Deliverables (in <b>bold</b> )	Contact Person	Completion Date(s)
Management Component	Work with second tranche Research Leaders to develop concept papers; Supervise SOW development and issue task orders for five deliverables; <b>Year 1/Quarter 2 report;</b> <b>Three monthly financial reports.</b>	Jeff Poyo	ongoing
		Joan Parker/ Jeff Poyo	11/1/96
		Joan Parker	10/15/96
		Wes Baker	10/15/96
			11/15/96 12/15/96
Research Component	Completion of four concept papers; <b>Topic 5 Desk Study;</b> <b>Topic 11 Desk Review</b> <b>Topic 14 Desk Review;</b> <b>Topic 16 Desk Study.</b>	Jeff Poyo	12/31/96
		Jeff Poyo	12/31/96
		Jeff Poyo	12/31/96
		Joan Parker	12/31/96
		Jeff Poyo	12/31/96
Grant Component	Conduct first review and award cycle for Capacity Building grants; Conduct first review and award cycle for Pilot Project Grants; <b>Award of 3 Capacity Building Grants;</b> <b>Award of 2 Pilot Project Grants</b>	Jimmy Harris	10/22/96
		Jimmy Harris	10/22/96
		Jimmy Harris	11/30/96
		Jimmy Harris	11/30/96
Information Sharing Component	Maintain WWW site; Prepare for Quarter 4 workshops/seminars; <b>One Workshop/Seminar.</b>	A.Golden-Vázquez	ongoing
		A.Golden-Vázquez	ongoing
		A.Golden-Vázquez	12/31/96

Year One/Quarter 4  
 Activities and Deliverables  
 (January 1, 1997 - March 31, 1997)

Project Component	Quarterly Activities/ Deliverables (in <b>bold</b> )	Contact Person	Completion Date(s)
Management Component	Supervise SOW development and issue task orders for seven deliverables; <b>Year 1/Quarter 3 report;</b> <b>Three monthly financial reports.</b>	Jeff Poyo	ongoing
		Joan Parker	1/15/97
		Wes Baker	1/15/97
			2/15/96 3/15/97
Research Component	<b>Topic 1 Desk Review;</b> <b>Topic 2 Field Analysis;</b> <b>Topic 6 Technical Note;</b> <b>Topic 7 Case Study;</b> <b>Topic 11 Case Study;</b> <b>Topic 12 Case Study;</b> <b>Topic 13 Review Paper;</b> <b>Topic 14 Case Study;</b> <b>Topic 14 Case Study.</b>	Jeff Poyo	3/31/97
		Joan Parker	3/31/97
		Joan Parker	3/31/97
		Jeff Poyo	3/31/97
		Joan Parker	3/31/97
Grant Component	Review grant solicitation, review, award cycle, and make recommendations for modifications; <b>Briefing documents for grants underway;</b> <b>Yearly summary report on grants.</b>	Jimmy Harris	1/15/97
		Jimmy Harris	2/15/97
		Jimmy Harris	3/31/97
Information Sharing Component	Maintain WWW site; Explore ListServe mechanisms to disseminate abstracts and two-pager; <b>Two workshops/seminars.</b>	A.Golden-Vázquez	ongoing
		A.Golden-Vázquez	2/28/97
		A.Golden-Vázquez	3/31/97