Ministry of Education,
The Republic of Malawi

Japan International
Cooperation Agency

# THE NATIONAL IMPLEMENTATION PROGRAM FOR DISTRICT EDUCATION PLANS (NIPDEP) IN THE REPUBLIC OF MALAWI

# FINAL REPORT
# REFERENCE DOCUMENTS



SEPTEMBER 2005

KRI INTERNATIONAL CORP.

Ministry of Education,
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## FINAL REPORT OF NIPDEP I

**SEPTEMBER 2005**

VOLUME 1: FINAL REPORT MAIN REPORT

VOLUME 2: FINAL REPORT SUMMARY

VOLUME 3: NIPDEP REFERENCE DOCUMENTS



**EXCHANGE RATE**
(as of 30 July 2005)

US$1.00 = MK120 = Yen111

# REFERENCE DOCUMENTS

## CONTENTS

DATA-I

DEPs Updating Manuals

Ministry of Education,
Science and Technology
Republic of Malawi

Japan International
Cooperation Agency

# THE NATIONAL IMPLEMENTATION PROGRAM DIISTRICT EDUCATION PLANS (NIPDEP)

## GUIDELINES FOR UPDATING DISTRICT EDUCATION PLANS (DEPs)

NOVEMBER 2004

KRI INTERNATIONAL CORP.

## PREFACE

These guidelines are designed to assist the District DEP Planning Teams to update their DEPs completed in 2001. The updating process will result in a three-year DEP covering 2005/2006 to 2007/2008.

The DEP your team will write is broken up into four chapters:

| | |
|---|---|
| Chapter I | Introduction |
| Chapter II | District Socio-Economic and Education Profile |
| Chapter III | Stating Policy Objectives, Strategies, Outputs, Outcomes, Targets and Costs, |
| Chapter IV | Implementation Plan |

To update and write the DEP, the District DEP Planning Team will:

- *follow the guidelines* for each chapter and sub-chapter or heading;
- *refresh* its understanding of the original DEPs and the preliminary DEPs recently written;
- *review* carefully what things were missing in the earlier versions are missing and/or needed further explanation;
- within each Chapter, where appropriate, *review EMIS* and district level data;
- within each chapter, *review PIF* and other national policy documents made available to the team to be sure that what is written is in accordance with national as well as district level statements;
- within Chapters, be sure that what is *written is easily understood* by those your team may wish to share or use the plan for resource mobilization or marketing purposes, such as the district assembly, your community stakeholders and international or local donor agencies;
- *Complete fully all tables* and formats indicated in the guidelines and be mindful that there have been some changes made in these matrices and formats since your team worked on the original and subsequent updated versions.

# CONTENTS

# UPDATING CHAPTER I: INTRODUCTION

The Chapter I of the DEP is divided into the following sub-headings or sub chapters to be filled out by the District Planning Team.:

1-1 District Vision Statement (Not in previous versions of DEP)
1-2 The Rationale for the DEP; and
1-3 The Role of Education in District Development

## 1-1 VISION STATEMENT

An additional sub-heading, *Vision Statement for the District,* is being added to this updated DEP. This was not in the original DEP, but it is thought that such a statement should be included that fits within the "2020 Vision Statement". A vision provides a foundation upon which a country can formulate, implement and evaluate short and medium-term plans for both the public and private sectors. It provides detailed background information and justification for the population's aspirations and strategies recommended to achieve those aspirations.

The Malawi Vision 2020 statement is:
*By the year 2020, Malawi, as a God-fearing nation, will be secure, democratically mature, environmentally sustainable, self reliant with equal opportunities for and active participation by all, having social services, vibrant cultural and religious values and technologically driven middle economy.*

The national aspirations were grouped under the following categories: good governance, competitive economy (sustainable economic growth and development), fair and equitable distribution of income and wealth, human resources development, vibrant culture, social economic infrastructure and sustainable development (sustainable environmental management).

Some of the elements that relate specifically to district education planning are indicated below:

- *Good governance:* improve the role and performance of the public sector institutions by bringing into them transparency, accountability and fighting corrupt practices in the management and utilization of public resources.

- *Building on strengths of the local culture:* strengthen self-reliance and community participation in local development programs, while at the same time reducing gender inequalities.
- *Social sector development:* reduce illiteracy; improve the quality, accessibility of education, and the development, deployment and effective utilization of human resources. Giving special attention to girls' education and responding to the challenges of HIV/AIDS.
- *Fair and equitable distribution of income and wealth*: increase social services and reduce gender inequalities.

A district vision should have the following characteristics. It should:
- be consistent with the existing national vision for long term development perspective for Malawi,
- be articulate where the district should be at a particular date, 2020.
- be guided by a leadership that is both creative and strategic in its thinking and actions,
- foster citizen participation and ownership in its formulation/articulation, implementation, monitoring and evaluation,
- be realistic in terms of identifying the availability of resources-public, donor, community and private resources, and

## 1-2 RATIONALE FOR THE DEP

Please review original and revised DEPs to be sure the information is complete and updated.

## 1-3 ROLE OF EDUCATION IN DISTRICT DEVELOPMENT

Please review original DEP and recently updated preliminary DEP to see whether there are gaps or missing information. And be sure that the *district team discusses* the role of education in your district in the context of the decentralization process and agrees upon what intended impact it should have on the economic, political (citizenship) social and cultural development of the district.

This is a place where your team needs to think about why educational services and opportunities are vital to the development of your district.

# UPDATING CHAPTER II: DISTRICT SOCIO-ECONOMIC AND EDUCATION PROFILE

This Chapter has the following sub-headings:

2-1 Socio-Economic Conditions
2-2 Education Provision divided by primary and secondary
2-3 Major Educational Achievements by Primary and Secondary Levels
2-4 Educational Problems and Priorities by Primary and Secondary Levels
2-5 Educational Resources and Finance

**STEPS:**

- Review original and revised DEP to be sure the information and profile characteristics are as complete as possible and that data available from all sources are referenced in descriptions wherever possible;
- Write the descriptions in such a way that the reader will easily understand the characteristics of your district and what are its major development problems and priorities, documenting wherever possible these needs and showing through analysis how your team arrived at its conclusions as to which are the highest development priorities.
- Although the section 2-5, Educational Resources and Finance is a general statement, the team should review what the funding sources have been in the past, referencing the survey on financial resources and sources completed before the workshop and look at what was said in the original DEP.
- Be *realistic and accurate* with respect to the educational resources and finance available in the district to carry out development projects.

## 2-1 SOCIO-ECONOMIC CONDITIONS

Please review original and revised DEPs to be sure the socio-economic conditions are complete and updated.

## 2-2 EDUCATION PROVISION

Please review original and revised DEPs to be sure the information is complete and updated.

## 2-3 MAJOR EDUCATIONAL ACHIEVEMENTS

Please review original and revised DEPs to be sure the information on the major achievements in the district is complete and updated.

Additionally, it will be useful, clearer and easier to list and, **briefly**, describe these improvements or accomplishments in table form (Table 2-1) below, separating those for primary, secondary and district wide levels and organized by PIF themes relating to access, quality, equity, relevance, planning, management and financial support as below:

**Table 2-1: Educational Achievements of the District**

| | **Primary** | **Secondary** | **District Wide** |
|---|---|---|---|
| **Access** | | | |
| **Quality** | | | |
| **Equity** | | | |
| **Relevance** | | | |
| **Planning** | | | |
| **Management** | | | |
| **Finance** | | | |

## 2-4 EDUCATIONAL PROBLEMS AND PRIORITIES

**This sub-chapter** is the **key to the development of a DEP**, as it identifies the needs and problems that will be addressed in the DEP.

The Plan must identify and justify what are the district priority problems are and how they are to be reduced or solved, being specific about improvement projects, targets, activities to accomplish strategies or projects and the costs. The foundation of the Plan is the priority problems, which are to be categorized by PIF objectives relating to seven themes: *Access; Quality; Equity; Relevance; Planning; Management; Finance*

The *process* for identifying priority problems needing to be addressed in the DEP includes:

(1) Stakeholder input and educational data analysis
(2) Gap needs analysis
(3) Identification and prioritization of the major development or improvement needs or problems in the district

## (1) STAKEHOLDER INPUT AND DISTRICT EDUCATIONAL DATA

Prior to the workshop, the district education offices were to distribute a survey to a wide spectrum of stakeholders to elicit their opinions or input as to what are the major district problems or deficiencies in the educational and to summarize the district educational data.

These survey data are to be summarized by the district planning team **before** the August workshop, so these opinions can be analyzed along with the more statistically oriented analysis of needs, problems and priorities to be done through the following gap analysis.

## (2) GAP NEEDS ANALYSIS

Please review original and revised DEPs to be sure the education data used in the gap analysis are complete and updated. A **GAP Analysis Worksheet** will be available for each team to use in examining in the first columns the current or past situation with respect to PIF goals and objectives.

This sub-chapter contains a table format, Table 2-2, below that shows an analysis of the gaps between what exists in the way of educational resources and where the PIF has set development objectives.

These gaps are part of the guidance for setting educational improvement priorities for the district and should be coupled with an analysis of stakeholder opinions as to priority education problems to be addressed by the DEP.

## Table 2-2: The Results of Problem or GAP Analysis: PIF

**PRIMARY**

| | PIF (target year) | District Status | GAP | REMARKS |
|---|---|---|---|---|
| **ACCESS (examples below)** | | | | |
| % of P/S graduates with access to S/S | | | | |
| Student to desk ratio | | | | |
| **EQUITY (examples below)** | | | | |
| % of enrolment by gender and rural and urban | | | | |
| Dropout rate by gender | | | | |
| Latrines to students ratio by gender | | | | |
| **QUALITY (examples below)** | | | | |
| Percentage of qualified teachers | | | | |
| Qualified teacher to student ratio | | | | |
| JCE pass rate (%) | | | | |
| MSCE pass rate (%) | | | | |
| Poor conditions of classrooms affecting teaching and learning | | | | |
| Poor housing conditions for teachers affecting distribution of qualified teachers | | | | |
| **RELEVANCE (example below)** | | | | |
| Curriculum overloaded without technical subjects and subjects related to local economy | | | | |
| **PLANNING and MANAGEMENT (example below)** | | | | |
| Inactive School Management Committees | | | | |
| **MANAGEMENT (example below)** | | | | |
| Poor performance in educational data collection and management | | | | |
| **FINANCE (example below)** | | | | |
| Delay of bursary awards and lack of funds for improvements | | | | |

NOTE: * a similar table would be done for **secondary level** and the **district-wide** gaps, if appropriate.
* Also, a similar table would be done by zone or cluster, if the data is available

Following the development of the tables and, again, the District team should discuss which are the **priority needs or problems in the district** and write in the text its conclusions from these two sources of information in narrative form with a brief statement as to why it is a priority to be addressed by the DEP.

The table below, Table 2-3, may be used to reflect the priority themes and priority problems to be addressed by the district's DEP. The table format below includes some examples as a further guide. The team should pick **three (3) priority problems or less** for each PIF theme: namely *Access; Quality; Equity; Relevance; Planning; Management; Finance.*

**Table 2-3: Identification of Priority Problems**

| Priority Problem Title | Brief Description Of Issue or Problem | Justification for Priority for Problem or Issue | PIF Issue to Which Problem Relates |
|---|---|---|---|
| | | | |
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## 2-5 EDUCATIONAL RESOURCES AND FINANCE

Please review original and revised DEPs to be sure the information is complete and updated based on the following materials:

- NIPDEP District survey results of past two year *recurrent* and *development* budgets and expenditures.
- NIPDEP Sources of Finding Survey distributed to the districts and completed before the workshop and other information from the district relating to resources for education in the past or anticipated in the future from donor agencies and the government.

## UPDATING CHAPTER III: STATING POLICY OBJECTIVES, STRATEGIES, INDICATORS, TARGETS AND RESOURCES NEEDS

This chapter will lay out your district plan so that readers will know what it is you will do to address your district's priority needs and problems. The sub-headings or sub-Chapters are:

3-1 Explanation of Table III, DEP Summary
3-2 Completion Process for Table III
3-3 Activity Budget Process and Forms

### 3-1 EXPLANATION OF TABLE 3-1: DEP SUMMARY

At the center of the DEP will be Table 3-1, which shows in summary form what it is your district believes needs to be done in each of the three years covered by this Plan 2005/2006 - 2007/2008 related to the PIF themes. Table 3-1 is to be backed up by <u>activity budgets plan (forms 3-1a,3-1b,3- 1c and 1d)</u> **to be in Appendix of DEP**, which are newly introduced in this DEP updating training workshop to improve our DEP more realistic and practical.

It is extremely important that the district planning team identify on Table 3-1 only **one or at most three improvement strategies or projects for each of the seven PIF themes, if there are problems identified in Chapter II (Table 2-3) relating to each theme** to be implemented in the DEP during the 2005/2006-2007/2008 period.

The *projects or strategies* selected, then, will follow the priority problems and issues identified in the previous Chapter II and should fall into one of the following categories:

- **Construction** (school blocks, teacher houses, latrines, boreholes etc.);
- **Procurement** (textbooks, desks, office equipment, other);
- **Training and Community Support** (INSET for teachers and/or managers, school management committees, education awareness, HIV/AIDS and others)
- **Resource Mobilization** This will be explained in Chapter IV.

The format for Table 3-1, the summary of the strategies and improvement projects to be conducted in 2005-07 is below: There should be separate Table 3-1s for primary and secondary education and district wide,

## Table 3-1: Summary District Education Plan (DEP)

**Level: Primary, Secondary or District-Wide Education** **Period: 2005/2006 - 2007/2008**

| Column #1 | Column #2 | Column #3 | Column #4 | Column #5 | Column #6 | Column #7 | | | |
|---|---|---|---|---|---|---|---|---|---|
| *PIF Policy Objective in Priority Order* | *Brief Description of improvement Strategy or Project in Priority Order* | *Three year Objective of Strategy or Project* | *Type of project construction, procurement, or training* | *Indicators and 3 yr. Output Targets for Project Progress* | *Intended Outcomes of Strategy or Project* | *Summary of Total Project Costs per Yea (See details in Appendix)* | | | |
| | | | | | | *Total Cost* | *2005 /2006* | *2006 /2006* | *2007 /2008* |
| | | | | | | | | | |
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## 3-2 COMPLETION PROCESS FOR TABLE 3-1, DEP SUMMARY

In **column #1** on the left hand side of Table 3-1, the team would indicate, first, what is the highest PIF theme to be addressed in the DEP. In other words, if the Chapter II analysis of priority problems and issues showed that *Access* was the most critical problem in the district, the priority strategies or projects identified are described briefly in **column #2.**

**The team may select maximum three (3) projects per theme to be proposed to be implemented during the 2005/2006 - 2007/2008 period.**

In the **column #3**, the team will indicate very briefly the objective of the strategy or project, for the period 2005/2006 - 2007/2008 e.g. reduce drop outs by a certain percentage by building latrines for girls, lower average class size by a certain number by building school blocks, or improve the quality of teaching and learning by training teachers through INSET courses for a percentage of the teachers, etc

Please indicate in the **column #4** whether the project is principal on of *construction, procurement or training*. This is very important as your team will see when it develops projected costs for the project on an activity budget form (1a, 1b and1c) to be covered later in this Guide. Also, such an identification will make it easier for potential donors or the government to see quickly what kinds of district projects are needed, as each type requires very different resources to implement.

The **column #5** would show the *kind or type* of indicator you will use to judge project progress toward its targets and specifically state what the output will be for the *three year* period, e.g. number of school blocks constructed, number of teachers trained, number of desks to be provided, number of school committees activated, etc.

The **column #6** would show a brief statement of the *intended outcome of the project.* An *outcome* is not the same as an *output.* An output is usually a quantifiable product of the effort, such as noted above with respect to column five. An *outcome* is a broader concept of achievement, such as with respect to the training of teachers, a district may train so many teachers, but the numbers do not tell you what kind of training outcome in improved competence and skills will result from the training, so the outcome might be competence to teach the new curriculum or the teachers will be able to use local materials in instruction.

The annual budget will be written in **column #7**. The data for **column #8** is found on the **Activity Budget forms, 3-1a, 3-1b, and 3-1c. (1d is a budget summary for you to check the total budget for three years), so there is no need to complete the columns until <u>after</u> you have completed 3-1a, 3-1b, and 3-1c forms**.

## 3-3 ACTIVITY BUDGET PROCESS AND FORMS

The forms (3-1a, 3-1b, and 3-1c) below when completed will result in a total cost for each strategy by year or project that will be placed in the Table 3-1 in the **last column on the right**. The first column is for total three year cost and the last one for the team to determine how it will spread the total project costs on a year by year basis (2005/06 - 2007/08).

The SAMPLE of an Activity Budget worksheet is as below. It is provided for illustration purposes only in order to show the format that you will find on the floppy disc template for these forms provided at the workshop. The complete 3-1a, 1b, and 1c forms are in the **Appendix of DEP**. The left hand column pre-listing the activities to do the project will be more detailed and longer and be different for procurement and training and community support.

The template on the floppy disc provided the team at the workshop for each type of project have all the different activities examples already listed down the left hand column for you to do an itemized cost estimate.

You will be provided, also, the most **recent item costs** for such things as sand, bricks, materials, allowances, transport, costs related to the projects you will be identifying.. The forms 3-1a, 3-1b, and 3-1c are more fully explained after the SAMPLE table below:

3 - 1a: Activity Budget - Construction

Disrict: PIF Priority:

Project Name:

| No. | Implementation Activity Steps | Items (Personnel, Allowance, Equipment, Materials etc) | Unit Price | Number | | | Frequency | | | Total for each year | | | Total for 3 years (2005-08) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | 05/06 | 06/07 | 07/08 | 05/06 | 06/07 | 07/08 | 05/06 | 06/07 | 07/08 | |
| 1 | Social and Natural Survey of Needs | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 2 | Prepare Tender | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 3 | Community Sensitization and Mobilization | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 4 | Construction | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 5 | Monitoring, Supervision, and Evaluation | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| | Totals | | | | | | | | | | | | |

One Activity Budget form must be completed for each project described on Table 3-1. At the **top of each form,** your team will indicate the District, the Project name, the type of project, and to what PIF theme does it relate.

In the **left hand column or first column**, there is already a list of activities that a district will need to perform to implement that type of project, depending upon whether it is a construction or procurement or training project. The list of major activities is, of course, different depending on the type of project.

<u>These major activities can be supplemented by your team, but please do not remove or substitute activities already on each form</u>. The forms above in this Guide only have a few activities listed, but the forms you will be given at the workshop will have more added.

In the **second column,** the team will need to identify the cost **items** to carry out an activity, such as the cost for meetings, like allowances and transport, or for construction for bricks, sand, equipment and labor, or for textbooks and costs for delivery to schools, monitoring of project progress and final or follow-up evaluation.

These activity costs are to be listed one by one in the **third column** of the form. The next column after the items will show how many of each item is needed and how many times the item will be used, resulting in a total cost for that specific activity.

The **sixth column** shows how the total cost will be spread out over the three years of the plan.

The bottom line of the four columns shows the total cost of the project for all activities listed above. It is these figures, the total costs, and costs for three years are to be also indicated or copied on Table 3-1 in the last columns of the Table for each project.

<u>Table 3-1 does not show the total costs for each activity, but rather the total cost for the entire project and how the costs are spread out over three years</u>.

These forms, 3-1a, 3-1b, and 3-1c will be in the **Appendix** of your DEP for reference for those who want more detailed information as to the costs for a project.

## 3-4 RATIONALE AND JUSTIFICATION FOR PROJECTS OR STRATEGIES AND DISTRICT CAPACITY

The team should write a brief explanation for each project as to why it was selected the strategy or project, what it plans to accomplish in the way of *outcomes*, and what is the is the team's *assessment of the capacity* of the district to deliver the project with respect to resources, both human and fiscal.

The projects should be grouped by primary and secondary. This justification and capacity statement can be placed right after primary for primary and after secondary for the secondary projects displayed on Table 3-1.

In describing the **district's capacity** to implement and complete the project, the team should be assessing the staffing implications for the project at district level and other resources needed locally to carry out a project. The span of management control must be considered, as well as the capabilities of local staff to provide direction, support and leadership and the capacity of the community to provide support, either in-kind or monetary.

## UPDATING CHAPTER IV: IMPLEMENTATION SCHEDULE AND RESOURCE MOBILIZATION PLAN

This Chapter has the following sub-headings or sub-chapters:

- 4-1 Administrative and Project Administrative Structure
- 4-2 Table 4-1: Implementation Plan and Schedule Summary
- 4-3 Resource Mobilization Plan

### 4-1 ADMINISTRATIVE AND PROJECT ADMINISTRATIVE STRUCTURE

Please review original and revised DEPs to be sure the information is complete and updated.

### 4-2 TABLE 4-1: IMPLEMENTATION PLAN AND SCHEDULE SUMMARY

The project implementation plan and schedule for each project or strategy are reflected on Table 4-1: Implementation Plan and Schedule Summary, below. However, this Table is to be supplemented by each team completing the project marketing form at the end of this chapter for each project to describe the resource mobilization or marketing plan needed to implement each project or strategy by acquiring needed resources from a single or multiple source, e.g. district assembly, community, donor agency, local NGO or a combination of sources.

The schedule is to be laid out on Table 4-1 separately by primary, secondary and district-wide projects related to the PIF themes. The projects should follow the priorities on Table 3-1.

It is advised that you **first** place in this section a simple list in the text of the projects by primary and secondary and district-wide identified on Table 3-1 as the ones you plan to implement in the 2005/2006 - 2007/2008 period.

**Table 4-1: Implementation Plan and Schedule Summary: Primary Education (Period: 2005/2006 – 2007/2008)**

| Implementation Strategies in Order of Priority from Table III | Target Group (Beneficiaries) | Indicators of Progress From Table 3-1 | Outputs From Table III | | | Time Frame Use lines to indicate time span for implementation | | | Responsible Department/Official | | Monitoring Activities |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | 05/06 | 06/07 | 07/08 | 05/06 | 06/07 | 07/08 | Implementer | Manager | |
| | | | | | | | | | | | |

Table 4-1 displays in summary form *the priority strategies or projects* in the plan from Table 3-1 in the first left hand column. The *target group* or persons or beneficiaries of the project is listed in the next column. The third column is a list of indicators of progress from Table 3-1.

The *outputs* are those products the project will produce each year, e.g. number of classrooms, number of desks, etc. The *activities* in the next column come from Table 3-1, but the next columns are for the *time-frame* shown by a line indicating the year for implementation.

The next columns are for the Team to indicate the person or staff position responsible for the day to day implementation of each project and the *Manager is the one* who supervises or ensures or is accountable that the project is done on time within budget.

The final column is a brief indication as to who will be responsible for *monitoring* the project and ultimately *evaluating* its outputs and outcomes. It could be a person or an organization that carries out these responsibilities.

### 4-3 RESOURCE MOBILIZATION PLAN

The objective of the Resource Mobilization Plan is to present your projects in a concise format that facilitates the marketing of the DEP projects summarized on Table 3-1 to potential funding agencies.

The following suggested process should be considered when marketing your DEP projects:

(1) Identify highest priority projects to be marketed to donors
(2) Assess what the local (within district) contribution will be to the project from the DDF and community in-kind contributions
(3) Write a brief description of the nature, purpose and costs, and intended outputs and outcomes of the project as described on Table 3-1.
(4) Identify who will take the leadership in marketing and developing the project proposal
(5) Identify and build contacts with potential funding sources, both external and internal to the district

(6) Develop a proposal, including background, justification, detailed budget, expected outputs and outcomes
(7) Submit proposal and marketing plan(s) to Ministry for clearance in order to approach donors operating in their district

The table 4-2 below plus the Activity Budget for Resource Mobilization,1d , when completed provides a way to develop an action plan and cost for marketing and promoting your resource mobilization plan.

To the extent possible, please complete the form for each of your projects in Table 3-1, and 1d. The steps or activities are already on the Activity Budget 1d listed in the left hand column and then following across with action plan information, some of which can be found on Tables 3-1 and 4-1.

**Table 4-2: Mobilization Action Plan by Project**

| Project name listed by priority order | Proposal leader | Main objectives | Project outputs | Project outcomes | Estimated total cost | Contribution from District in MK or in-kind | Contributions from outside district in MK | List potential donors |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| | | | | | | | | |
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# APPENDICES

The following tables will be completed as part of Chapter III and as back-up and detail for Table 3-1. The completed Activity Budget tables below will be made available as templates at the Workshop and will be attached to the final DEP.

**3-1a: Activity Budget – Construction**
**3-1b: Activity Budget – Procurement**
**3-1c: Activity Budget - Training and Community Awareness**
**3-1d: Activity Budget – SUMMARY SHEET**

3 - 1a: Activity Budget - Construction (1)

Disrict: PIF Priority:

Project Name:

| No | Implementation Activity Steps | Items (Personnel, Allowance, Equipment, Materials etc) | Unit Price | Number | | | Frequency | | | Total for each year | | | Total for 3 years |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | |
| 1 | Social and Natural Survey of Needs | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 2 | Prepare Tender | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 3 | Community Sensitization and Mobilization | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 4 | Construction | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| 5 | Monitoring, Supervision, and Evaluation | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | Activity Total | | | | | | | | | | | |
| | Totals | | | | | | | | | | | | |

3 - 1b: Activity Budget - Procurement (1)

Disrict: PIF Priority:

Project Name:

| Implementation Activity Steps | Items (Personnel, Allowance, Equipment, Materials etc) | Unit Price | Number | | | Frequency | | | Total for each year | | | Total for 3 years |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | |
| Survey of Needs | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Execute Order or Purchasing Order and Contract | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Delivery of Goods Purchased | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Training on Equipment or Materials | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Follow-Up Inspection, Monitoring, and Evaluation | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Totals | | | | | | | | | | | | |

3 - 1c: Activity Budget - Training and Community Awareness (1)

Disrict: | PIF | Priority:

Project Name:

| Implementation Activity Steps | **Items** (Personnel, Allowance, Equipment, Materials etc) | Unit Price | Number | | | Frequency | | | Total for each year | | | Total for 3 years |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | Yr1 | Yr2 | Yr3 | |
| Survey of Training Needs | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Design Training Program | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Secure Site for Training | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Pay Contract for Instruction | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Conduct Training | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Program Monitoring, and Evaluation | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Activity Total | | | | | | | | | | | |
| Totals | | | | | | | | | | | | |

3 - 1d: Activity Budget - SUMMARY SHEET

Disrict:____________________________

| No. | Name of Project | type | Total for each year | | | Total for 3 years |
|---|---|---|---|---|---|---|
| | | | Year 1 | Year 2 | Year 3 | |
| 1 | | Construction (1) | | | | |
| 2 | | Construciton (2) | | | | |
| 3 | | Construction (3) | | | | |
| 4 | | Procurement (1) | | | | |
| 5 | | Procurement (2) | | | | |
| 6 | | Procurement (3) | | | | |
| 7 | | Training and Community Awareness (1) | | | | |
| 8 | | Training and Community Awareness (2) | | | | |
| 9 | | Training and Community Awareness (3) | | | | |
| | | Total | | | | |

# DATA-II

# Pilot Project Implementation Manual

Ministry of Education
Science and Technology
Republic of Malawi

Japan International
Cooperation Agency

# THE NATIONAL IMPLEMENTATION PROGRAM FOR DISTRICT EDUCATION PLANS (NIPDEP)

## PILOT PROJECT IMPLEMENTATION MANUAL

JUNE 2003

KRI INTERNATIONAL CORP.

## ABBREVIATIONS

| | |
|---|---|
| ADEO | Assistant District Education Officer |
| AEC | Area Education Committee |
| ADC | Area Development Committee |
| CDSS | Community Day Secondary School |
| CEED | Central East Education Division |
| CERT | Center for Education Research and Training |
| CIDA | Canadian International Development Agency |
| CPEA | Coordinating Primary Education Advisor |
| CRECCOM | Creative Center for Community Mobilization |
| CSS | Conventional Secondary School |
| CWED | Central West Education Division |
| DA | District Assembly |
| DDF | District Development Fund |
| DDP | District Development Plan |
| DEC | District Executive Committee |
| DEM | District Education Manager (formerly called DEO) |
| DEMIS | District Education Management Information System |
| DEPs | District Education Plans |
| DfID | Department for International Development |
| DIP | Decentralization Implementation Plan |
| DOF | Director of Finance |
| DPD | Director of Planning and Development |
| EMAS | Education Method Advisory Services |
| EMIS | Education Management Information System |
| GoM | Government of Malawi |
| GTZ | Gesellschaft Technischer Zussammenarbeit |
| HIV/AIDS | Human Immuno-deficiency Virus and Acquired Immune Deficiency Syndrome |
| INSET | In-Service Training |
| JCE | Junior Certificate Examination |
| JICA | Japan International Cooperation Agency |
| KfW | Kreditanstalt fur Wiederaufbau |
| LEA | Local Education Authority |
| LSE | Life Skills Education |
| M&E | Monitoring and Evaluation |
| MASAF | Malawi Social Action Fund |
| MIE | Malawi Institution of Education |
| MIM | Malawi Institute of Management |
| MK | Malawi Kwacha |
| MoEST | Ministry of Education, Science and Technology |
| MoHP | Ministry of Health and Population |
| MSCE | Malawi School Certificate Examination |

| | |
|---|---|
| NED | North Education Division |
| NGO | Non-Governmental Organization |
| NIPDEP | National Implementation Program for District Education Plans |
| PEA | Primary Education Advisor |
| PIF | Policy and Investment Framework |
| PDM | Project Design Matrix |
| PMT | Project Management Team |
| PSLCE | Primary School Leaving Certificate Examination |
| PTA | Parent Teacher Association |
| SEED | South East Education Division |
| SHED | Shire Highlands Education Division |
| SMC | Social Mobilization Campaign |
| SIP | Sector Investment Program |
| SMASSE | Strengthening of Mathematics and Science in Secondary Education |
| SWED | South West Education Division |
| TA | Traditional Authority |
| TF | Pilot Project Task Force |
| TDC | Teacher Development Center |
| TOR | Terms of Reference |
| TOT | Training of Trainers |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNICEF | United Nations Children's Fund |
| USAID | United States Agency for International Development |

# UNIT I
# INTRODUCTION

## *Background and purposes of NIPDEP*

### *Phase I*

Phase I of the MoEST-JICA project began in October 2000 as the National School Mapping and Micro-Planning Project with the purpose to train division and district level personnel in planning in order to support Government of Malawi policies to decentralize the delivery of education to the district level. Phase I training was coupled with the production of the 33 District Education Plan (DEP)s, which followed the National Education Policy and Investment Framework (PIF) development and improvement themes. The DEPs spelled out with the help of stakeholders:

- the priority educational needs of each district, strategies for overcoming needs;
- activities to implement the strategies;
- indicators to be used to monitor progress toward goals and objectives;
- costs to implement each strategy; and
- identified persons and agencies responsible for carrying out the activities.

### *Phase II*

Phase II of the MoEST-JICA project, the National Implementation Plan for District Education Plans (NIPDEP) began in January 2003 and is built upon the experience and output of Phase I. Phase II objectives are to:

- establish and strengthen implementation mechanism of the District Education Plans (DEPs),
- build capacity in planning and implementation of DEPs of the central and local education officers in the context of the government Decentralization Policy.

The main approaches to achieve the above objectives are to:

- Utilize further, revise and upgrade the DEPs;
- Formulate the National District Education Development Plan NDEP), which gives an overall scenario of implementing all the DEPs based on Malawi Poverty Reduction Strategy Paper (MPRSP), Policy and Investment Framework (PIF), Sector Development Plan and the DEPs; and
- Plan, implement, monitor and evaluate pilot projects in the pilot districts to undertake the actual implementation process of the DEPs and to learn lessons for upgrading DEPS and NDEP.

Phase II is a logical continuation of Phase I. The Project began in January 2003 and will end in March 2005. The major activities are reflected in the Chart which follows:

| | |
|---|---|
| 1st Activities in Japan (January 2003) | **Preparatory works:**<br>Preparation of Inception Report |
| First Visit to Malawi (January-March 2003) | **Situation analysis and formulation of pilot project plans:**<br>Explanation and discussion of the Inception Report (IC/R)<br>Holding of an IC/R seminar<br>Review of related development plans and programs<br>Reviewing of the DEPs<br>Understanding of the decentralization progress and impact at the local and the central level<br>Formulation of the pilot project plans (proposals)<br>Establishment of the pilot project implementation structure<br>Formulation of pilot project frameworks<br>Preparation of the manuals of the pilot projects<br>Formulation of the baseline survey implementation plan<br>Planning of public relations activities<br>Preparation and discussion of the Progress Report I |
| Second Visit to Malawi (April 2003-March 2004) | **Implementation and monitoring of pilot projects:**<br>(1) Training of district education officers of the pilot districts<br>(2) Preparation of the first draft of the National District Education Development Plan<br>(3) Preparation of the pilot projects and conducting of a baseline survey<br>(4) Implementation and monitoring of the pilot projects<br>(5) Preparation and discussion of the Progress Report II<br>(6) Mid-term evaluation of the pilot projects<br>(7) Holding of a mid-term evaluation seminar<br>(8) Preparation of the Pilot Project Progress Report No.1<br>(9) Preparation of the Progress Report III |
| Third Visit to Malawi (April 2004-January 2005) | **Implementation and evaluation of the pilot projects:**<br>Explanation and discussion of the Progress Report III<br>Continuous implementation of the pilot projects<br>(1) Updating of the DEPs<br>(2) Post-pilot project evaluation<br>(3) Preparation of the Pilot Project Progress Report No.2<br>(4) Preparation of the National District Education Development Plan<br>(5) Preparation and explanation of the Draft Final Report<br>(6) Holding of a Draft Final Report Seminar |
| 2nd Activities in Japan (February 2005) | **Preparation of Final Report:**<br>Completion of a Final Report |

The work in January through March has produced 42 Pilot Projects developed in six pilot districts, which are: Mchinji, Nkhata Bay, Nsanje and Thyolo included in the Phase I Project and includes two new pilots districts, Ntchisi and Machinga. Through stakeholder meetings and a March training workshop, the district personnel developed six to seven projects each to be implemented with JICA assistance in the next two fiscal years that relate to a district's DEP.

The pilot projects were approved by MoEST, LEAs and JICA in April 2003 and are now ready for implementation. This manual has been developed to:

- Support the necessary training of district personnel to implement the agreed projects;
- Serve as a step-by-step workbook or handbook to insure good planning and execution of the project activities; and
- Serve as a reference throughout the Phase II of the project for those responsible for carrying out the activities and management of the pilot projects.

## *Overall Project Work Flow*

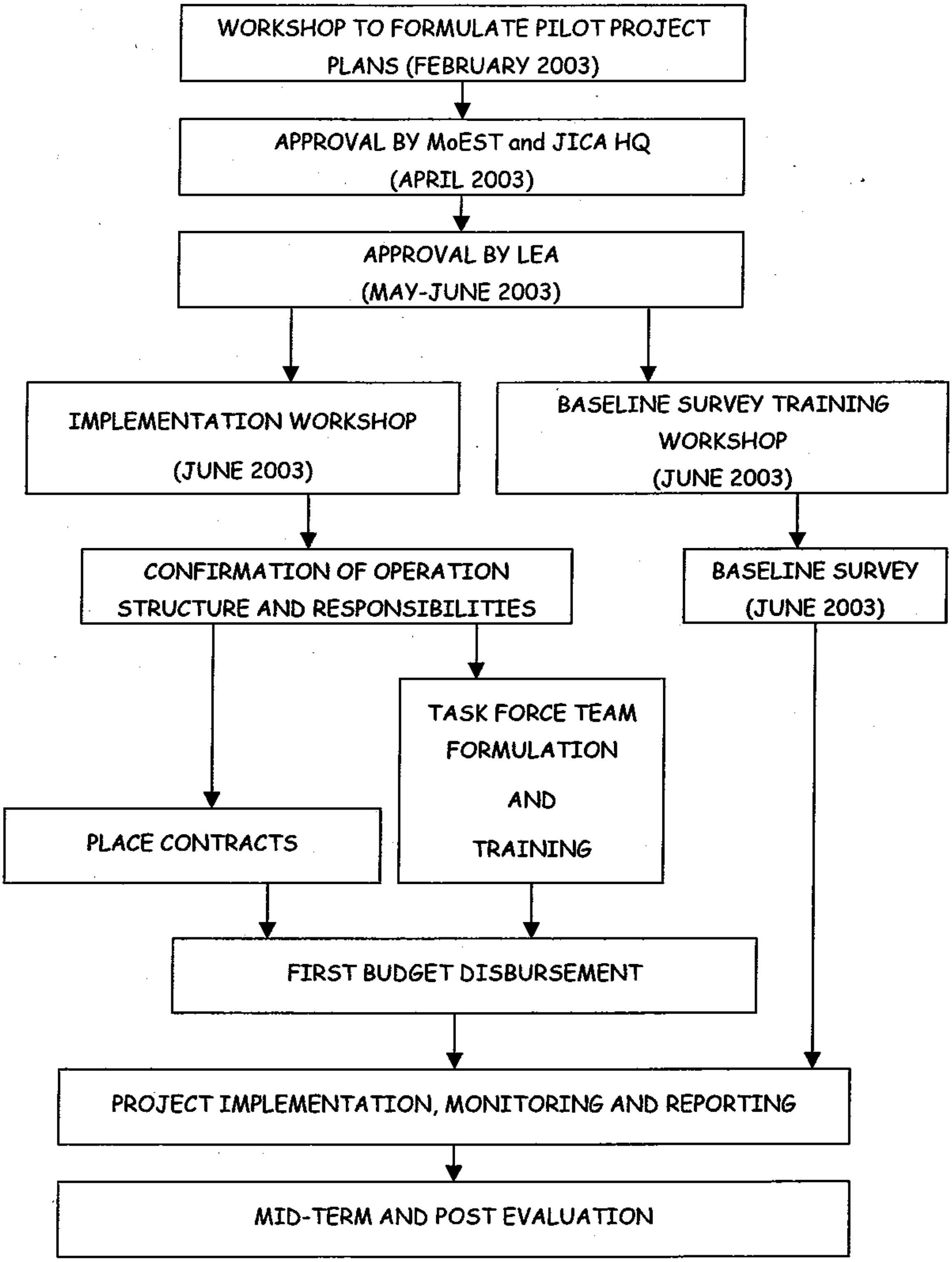
The NIPDEP Study Work Flow, Figure 1 that follows shows the major activities and tasks which must be accomplished in Phase II in sequence. This workshop is designed to complete the detailed implementation or operational plans for each of the 42 projects. The plans include activity and budget requirement timelines, budgets, financial accounting systems, baseline study plans, surveys of needs and project monitoring and evaluation. Operating, management and oversight structures will be established in each district for projects to insure accountability and effective management following the workshop. The objective for all projects whether they be for construction, procurement or training is to enable the district personnel and communities understand each project and have a sense of ownership.

## *Purposes of Implementation Workshop*

These objectives for the workshop for key district level personnel involved in the implementation of the NIPDEP project are to:

- Provide an opportunity to refine the pilot project plans into operational activity and step plans for each pilot project;
- Understand implementation activity step timelines, monitoring and reporting requirements for each pilot project;
- Understand the contracting and financial requirements for pilot projects; and
- Understand the baseline study and evaluation process for the NIPDEP project as a whole and for individual pilot projects.

**FIGURE 1**
**NIPDEP STUDY**
**PILOT PROJECT WORK FLOW CHART**



# UNIT II
# OVERALL IMPLEMENTATION STRUCTURE

*<u>Operational Agencies and Organizations</u>*

The overall implementation management and oversight structure for the projects is reflected in the following diagram, Figure 2.

**FIGURE 2**

**NIPDEP IMPLEMENTATION STRUCTURE**

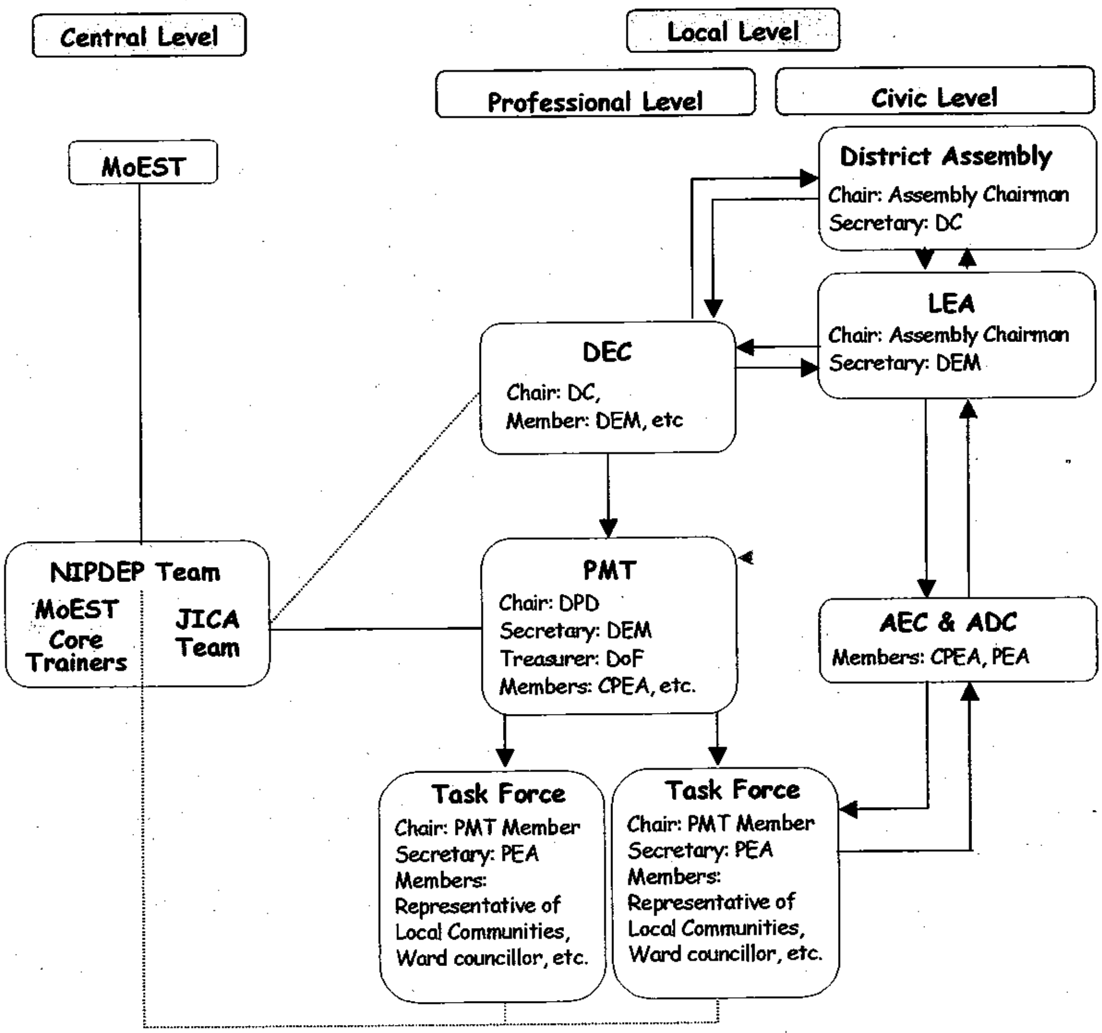


Figure 2 above shows that there are roles to play at the national and local levels in the NIPDEP Project that include: The NIPDEP Team, the Ministry of Education Science and Technology (MoEST), the District Assembly (DA), Local Education Authority (LEA), District Executive Committee, Project Management Team (PMT) Area Education Committee (AEC), Area Development Committee (ADC), and Pilot Project Task Forces, here after referred to as Task Force. Figure 2 shows, also, the core members of the LEA, PMT, and task forces. Further, Figure 2 illustrates the lines of authority and complexity of relationships necessary to implement the project, so that there is accountability, transparency, coordination and community involvement.

***Roles and Responsibilities***

Below is a brief explanation of the roles and responsibilities for each of the major bodies and entities in the Project Structure Chart.

NIPDEP Team
- Project Organization
- Technical assistance
- Overall NIPDEP Project implementation and management
- Fund disbursement

MoEST
- Oversight for NIPDEP project
- Facilitate coordination at division level and national level
- Coordinate with other international development partners

District Assembly (DA)
- Ultimate authority for district development

Local Education Authority (LEA)
- Endorses NIPDEP Project in the district
- Provides overview for NIPDEP Project

District Executive Committee (DEC)
- Endorses NIPDEP Project in the district
- Provides oversight for NIPDEP project
- Appoints PMT

Project Management Team (PMT)
- Appoint Task Force chairpersons and member, define their Terms of References and provide them orientation to their Terms of Reference.
- Conduct monthly meetings
- Disburse funds to pilot projects through the Task Forces
- Provide oversight and accountability for pilot project activities and funds
- Review Task Force Monthly Monitoring Reports
- Compile PMT monthly report to NIPDEP Team

Area Education Committee (AEC ) and Area Development Committee (ADC)
- Provide community inputs to pilot projects

Pilot Project Task Forces

- Carry out project activities according to Terms of Reference and the pilot project implementation plan
- Submit monitoring and other progress reports to the DEM for PMT review
- Bookkeeping

It should be pointed out from Figure 2 that there are several key positions at the district level to insure that there is proper contracting done, effective coordination between the LEA, DEC, PMT and Task Forces and efficient project operational management. They are:

- The District Commissioner (DC) who is the liaison official between the LEA and the DEC and the person who executes or signs key contracts between NIPDEP Team and the PMT.

- The District Education Manager (DEM) who is Secretary to the LEA, and who is a member of the DEC and the PMT and primary link between the DEC and the PMT. The DEM is responsible for day to day overall management of the pilot projects and is the person who reviews task force reports, drafts the monthly PMT report to the NIPDEP headquarters and keeps all parties informed on Project matters.

The key administrative officers involved in the NIPDEP Project are:

- The Director of Planning and Development (DPD). The DPD is responsible for all planning in the district and the one who prepares the District Development Plan (DDP), within which the District Education Plan (DEP) fits. He is the chairperson of the PMT.

- The Director of Finance (DoF) is responsible for financial accountability for district level activity and will oversee the bookkeeping and other financial records monitoring and reporting for the PMT.

- The Chairpersons for the Task Forces will be members of the PMT, exclusive of the DEM.

- The Task Forces will be composed of key persons from both the District Education Office and the community. The Primary Education Advisors (PEAs) will serve as secretaries to the Task Forces and serve along with head teachers (one for each task force). The secretary for a Task Force will be responsible for the preparation of the monthly progress report to the PMT. There may be a ward councilor, a village head and a representative from a school management committee on each Task Force, as well as, persons with special expertise related to the pilot project. As noted above, the chairperson will be someone from the PMT and the treasurer will be someone with expertise in accounting and handling money.

***Operational Responsibilities***

During this workshop, the district implementation team participating will complete *Matrix 1A PMT Pilot Project Operation Structure Plan and Matrix 1B Task Force Structure Plan* for each pilot project in order to clarify the composition of the project team by name and position. The format already includes some of the set positions for members of the PMT and Task Forces, but the names of the persons for those positions will need to be filled in before the end of the workshop. The names and positions of other non set position PMT and task force members should be filled in, as well.

The workshop participants, also, will complete *Matrix 1C, Task Force Terms of Reference (TOR). Matrix 1C* requires the workshop district implementation team to indicate the Terms of Reference for each Task Force. The TOR should reflect exactly what is expected of each Task Force to manage and oversee the project to accomplish its objectives. This Matrix will help to clarify further who will have oversight and operational responsibilities for each project. Also, the TOR should define the extent to which there is community and government agency involvement in the project and suggest how that will be accomplished through Task Force activities and responsibilities.

What is important to note is that the successful operation of these 42 projects depends upon close cooperation among all of the bodies and entities above. Each of the activities to implement a project must have someone responsible for it and be accountable for its successful completion. It therefore is highly important at the outset that all concerned, participants and stakeholders understand their roles and responsibilities. Furthermore, Unit IV of this Manual there is a *Matrix 3 Pilot Project Activity and Steps Timeline and Responsible Persons* that shows exactly who is responsible for operations and oversight for each major project activity, e.g. planning the budget, accounting for funds, contracting for services, etc. within the agencies and organizations referenced above.

**MATRIX 1A: PMT PILOT PROJECT OPERATION STRUCUTURE PLAN**

**District:** ____________________

| PMT | |
|---|---|
| 1. Chairperson | Director of Planning and Development |
| 2. Secretary | District Education Manager |
| 3. Treasurer | Director of Finance |
| 4. Vice Treasurer | District Education Office Accounts |
| 5. Member | Coordinating PEA |
| 6. Member | NGO Representative |
| 7. Member | Work Supervisor (*If there is a construction project) |
| 8. Member | |
| 9. Member | |
| 10. Member | |
| 11. Member | |
| 12. Member | |
| 13. Member | |
| 14. Member | |
| 15. Member | |

- MEMBERS SHALL HEAD THE TASKFORCE TEAM FOR PILOT PROJECT, THEREFORE,

## MATRIX 1B, TASK FORCE STRUCTURE PLAN

DISTRICT ______________________

PILOT PROJECT TASK FORCE______________________

| PROJECT TASKFORCE | | | | | | |
|---|---|---|---|---|---|---|
| | Taskforce 1 | Taskforce 2 | Taskforce 3 | Taskforce 4 | Taskforce 5 | Taskforce 6 |
| Pilot Project Number | | | | | | |
| 1. Chairperson *1 | | | | | | |
| 2. Secretary | PEA | PEA | PEA | PEA | PEA | PEA |
| 3. Treasurer *2 | | | | | | |
| 4. Member | Head Teacher | | | | | |
| 5. Member | Representative of School Management Committee | | | | | |
| 6. Member | | | | | | |
| 7. Member | | | | | | |
| 8. Member | | | | | | |

*1 Chairperson: PMT Member

*2 Treasurer: Person with expertise in accounting or handling money

ABOVE MEMBERS ARE EXAMPLES OF THE CORE MEMBERS.

## MATRIX 1C, TASK FORCE TERMS OF REFERENCE

DISTRICT ______________________________

PILOT PROJECT TASK FORCE_________________________

| | |
|---|---|
| 1 | Carry out implementation plan according to pilot project goals and objectives, Terms of Reference and JICA contract |
| 2 | Submit monitoring and other progress reports to the DEM for PMT review |
| 3 | Provide bookkeeping as required |
| 4 | |
| 5 | |
| 6 | |
| 7 | |
| 8 | |

## UNIT III
## COMMUNITY MOBILIZATION AND AWARENESS

*Why Community Mobilization and Awareness?*

Underpinning all projects must be strong community involvement in the conduct of the district level development projects, whether they be supported by MoEST and JICA, other donor agencies, the district development fund (DDF) or NGOs. The community must have a strong sense that the schools are theirs and that they, especially parents, have a responsibility to support the efforts of teachers and administrators to deliver a relevant and quality education for their children.

The pilot projects are expected to;

- show the way as to how to implement similar projects in non-pilot districts;
- be directed toward improving the school environment by, in some cases, building classroom blocks, laboratories, and teachers' houses;
- procure needed equipment to facilitate teaching and learning; and
- provide teacher and management training and capacity building.

All these projects can be significantly enhanced by:

- targeted assistance and supplementary support from the community from the baking of bricks for construction;
- volunteering to assist teachers with classroom discipline and management;
- raising funds to buy library books and school and teacher supplies; and
- providing labor, materials or volunteer time.

These inputs can be critical to the success of development projects, but also these activities clearly lead to the community understanding of its role in the long term improvement and sustainability of quality schools. Pilot projects have a limited life, while community support and involvement must be constant and continuous. With respect to this NIPDEP project, it will be important to know to what extent and how the pilot projects have generated community contributions and added value to the JICA efforts and investments.

Community contribution needs to be understood in terms of:

- material and in-kind contribution;
- participation and representation; and
- awareness building and motivation.

***Mobilization Process and Methodology***

The challenge to the project at this stage is to come up with an effective and culturally relevant process and methodology for building community awareness around key issues and activities involved with implementation, and elicit community involvement and participation (inputs). The process and methodology should have the following components:

- identification and analysis of key issues or concerns in the implementation of an activity;
- training of community mobilizers on listening, trust building, motivation and identification of opinion leaders, etc.;
- community-based sensitization and mobilization around issues identified;
- community-based actions or initiatives (having project committees, identifying actions to be taken when and where, leadership, liaison required); and
- reflection and planning for next steps.

The aim is to build a sense of ownership, motivate, and elicit concrete action to deal with issues identified, plan systematic involvement and to provide supplementary support for project activities.

The Creative Center for Community Mobilization (CRECCOM) and other NGOs and agencies like MASAF have developed methodologies which can be used as a model or used directly to organize and harness community participation and increase community awareness of educational problems and issues in Phase II of the project. These organizations may use a variety of strategies and processes to increase awareness and support, such as theater, mime, song and dance to dramatize community challenges, issues and problems.

***Building Community Awareness***

Building community awareness should be a thoughtful and varied process, using as many tools and strategies as possible to reach the public in the district to get support for education. Below is a list of ways to promote public awareness which may be useful to those implementing these projects or any other development projects and activities. It shows all the media that may be at the disposal of the district leaders to reach parents, students, businesspersons, political leaders and other stakeholders.

- World wide web homepage
  : Donors, researchers, government officials etc.
- Newsletters (project and district levels)
  : Education officials, stakeholders, donors etc.
- Posters
  : Stakeholders, education officials etc.
- Audio tape recording (ex. one-way radio)
  : Teachers, PEAs, PTAs, community members etc.
- Workshops and meetings
  : Donors, MoEST, government officers etc.

- News media
  : All stakeholders

The *Matrix 2, the Community Mobilization and Awareness Action Plan,* is the planning format for the implementers to use in identifying what *specific* pilot project activities can involve community participation. It further seeks to identify participation with what anticipated or expected outcome or product and who would be responsible for mobilizing the identified community group or entity from the project side and who will take the leadership from the community group side. This Community Mobilization and Awareness Action Plan format will be a part of the District's pilot projects implementation plan and will be completed before the end of the workshop.

## MATRIX 2: COMMUNITY MOBILIZATION AND AWARENESS ACTION PLAN

| Pilot Project Title | Community Input (YES or NO?) | Description of Community Input | Expected Outcome through Community Participation | Person Responsible |
|---|---|---|---|---|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |
| 6. | | | | |
| 7. | | | | |

## UNIT IV
## PILOT PROJECT IMPLEMENTATION ACTIVITIES AND STEPS

The following description of steps for implementing pilot projects are basic ones to be scheduled and completed as part of management responsibilities of those assigned pilot project overall management. On Matrix 3, the district implementation teams will put a time line, expected outputs, administrators and managers responsible for the activity by each activity listed for each project and each activity or step. At a glance, managers and others will see graphically what is going to happen and when in order to implement a project. Project managers will need to establish and act upon these timelines for the completion of each of these major steps.

As noted, the pilot projects primarily break down into those involving *construction, procurement and training and capacity building*. There are a number of steps that are common for all projects that are *General Implementation Steps,* which involve such things as mobilizing community support, meetings with LEA and PMT, organizing task forces, opening bank accounts, etc.

The draft *Matrix 3 Timeline Implementation Activities and Steps* should be completed before this workshop by the district team. A timeline should be put after each core or standard activity or step for each pilot project shown in the right hand column of the Matrix. Preceding the timeline are columns to be completed that show expected outputs, the day to day administrator for the activity and the manager or oversight person for the activity. As noted earlier, a core or standard set of activities and steps has been provided for each pilot project type, but this list does not preclude a district team adding steps and activities to either the general steps or those *core or standard* steps for construction, procurement or training and capacity building pilot projects.

There must be a list of discrete activities and steps for each pilot project that clearly indicates what has to be done, when and include the core or standard activities and steps. It is apparent that the steps are different for each one of the categories, as activities are not the same and local or government rules and requirements for program delivery may be different. The steps below are the *core* or *standard* steps to be used in pilot program implementation plans. The sequence for the implementation steps will depend upon the local conditions.

It should be emphasized that the core or standard steps may not cover other *implementation activities and steps* that involve construction, procurement or training and capacity building. Also, of major importance is that some pilot projects may not fit clearly under construction, procurement and training and capacity building, such as ones dealing with school committee activation, gender or HIV/AIDS awareness campaigns or program design. If such programs do not involve construction, procurement or training, implementation activities and steps must be identified and placed into the matrix of activities, timelines, outputs, and responsible persons.

***Project Surveys of Needs***

As noted in the lists below of implementation activities and steps for each project, there is a step for some kind of simple survey of needs. It should be one of the initial steps or activities to implement a pilot project. It is the first step in determining what are the current conditions and creates the basis for determining what you will try to change or gaps to fill by the project intervention, The survey of needs indicates where you are at the start of the project. Project plans tell you where you want to go to make a stated change to present conditions. It is the starting point for monitoring the progress of inputs (human and physical resources) for the intervention (the project) to have assurance that the resources (inputs) are getting to the intervention on time and synchronized among implementing activities.

In general, surveys for construction, procurement and training and capacity building will involve the kinds of processes below:

Construction

A survey of needs for a construction project may mean or be called a survey of target schools to determine how many new classroom blocks, laboratories and/or teacher houses exist at each site in each zone in the district and what are the conditions of each. This would lead to an analysis of where the highest priorities for construction are given the budgetary limitations and the status of student access to schools by zone.

Procurement

For procurement, the survey may be somewhat like construction, whereby a survey is made of existing office and instructional equipment to have a clear picture as to what equipment exists in each proposed site and what is the condition of such equipment. This information is critical in order to see what additional or new equipment is needed and to avoid needless duplication.

Training and capacity Building

With respect to training and capacity building, there must be a survey of the knowledge, skills and competencies of the target group to be trained, so that the training program is tailored as closely as possible to those additional knowledge or new skills and competencies to be enhanced or developed through training.

In other words it is essential to know what exists before using project resources as precisely, efficiently and wisely as possible. These are essentially in-house survey activities which can be carried out at minimal expense by district level staff, such as for construction and procurement by District Assembly staff or a NIPDEP team member or with respect to training, through a MIE contract or PEAs and others on DEM staff.

## GENERAL IMPLEMENTATION PLAN CORE STEPS

1) Community Mobilization. Community mobilization and awareness are activities to provide information on the projects to the community and to assist in generating community contributions and support to supplement the resources being provided by the NIPDEP project.

2) LEA Meetings. Complete arrangements and conduct meetings to obtain project approvals.

3) PMT Meetings. Complete arrangements and conduct meeting to obtain technical project approval and agree on implementation Task Forces or alternate sub structure for oversight. PMT nominates chairpersons and members of Task Forces or groups of Task Forces under one Task Force and provide them orientation to their Terms of Reference.

4) Open DEM/KRI bank account. This will be done immediately at the outset of NIPDEP in each district and will conform with to NIPDEP project regulations and procedures regarding amounts, required signatories, receipts and records covered under Unit IV of this Manual.

5) Receive Funds. This process will be defined by NIPDEP Team headquarters in terms of amounts, schedules for disbursement, receipts and record keeping in Unit IV of this Manual.

6) Complete Baseline Study. These activities include survey planning meeting, distribution and collection of surveys, summary and analysis of results and submission of report covered under a separate Manual for the Baseline Study referenced in Unit IV of this Manual.

7) Required Reporting. There are weekly and monthly reports required explained in this Manual relating to financial and programmatic accountability. Most reporting is from the Task Forces to the PMT and then on to other parties, as needed, including LEA and NIPDEP team headquarters.

## CONSTRUCTION PROGRAM IMPLEMENTATION PLAN CORE STEPS

Note that this section is slightly different from the others in this Unit as it includes diagrams for the construction step flows and a timeline, as these steps will be jointly carried out with the district teams and the NIPDEP Team.

1) Task Force Meetings. Conduct meetings of Task Force responsible for construction pilot project to inform members of project, their role (Terms of Reference) in the oversight for the project. Meet periodically throughout the project.

2) Community mobilization. See Unit III and MASAF process and construction contracts which include community participation understandings.

3) Site survey of needs. The design of the survey of current conditions may include an inventory and physical condition of current structures and pupil catchment areas in relationship to existing schools, so that a determination can be made as to the priority for construction projects (school blocks, laboratories and teacher houses).

4) Tender Consultant. A consultant will be hired by the NIPDEP team headquarters to develop the tender documents and supervise construction, which includes such things as the specifications for the site and building.

5) Natural condition survey. To be done by NIPDEP Team member or consultant by contract.

6) Arrange design and preparation of tender documents. To be done by NIPDEP team tender consultant.

7) Issue tender for contractor. To be done by PMT coordinated with NIPDEP Team.

8) Review of tenders and selection of contractor. To be done by PMT and coordinated with the NIPDEP Team.

9) Land leveling and brick baking. May be done by contractor or by local community or by a combination of both.

10) Construction. Done by the contractor.

11) Classroom and laboratory furniture procurement, If not done through the construction contract as a package, then may be sub-contracted or done by community participation or combination of sources.

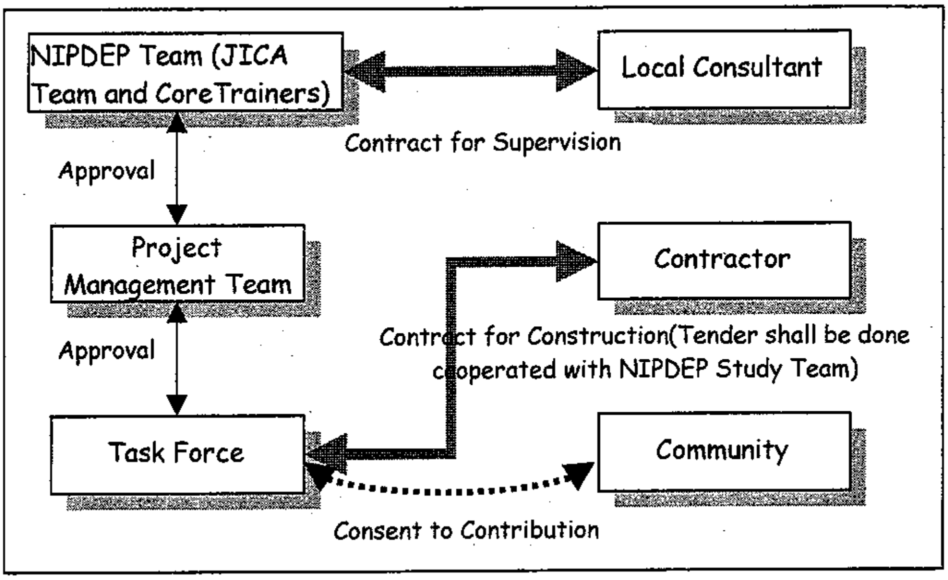
12) Monitoring and Evaluation. Task Force would be required to submit scheduled monitoring reports to the PMT. It would require monitoring and progress reports from consultants as to progress on the construction, but inspection and evaluation of the construction at completion would be the responsibility of the Task Force, District and NIPDEP team to determine if specifications were met on schedule. An evaluation follow-up would assess whether the structures are being used and for what purposes as planned and, if possible, their impact upon school environment, and the teaching and learning improvement.

Figures 3A, 3B and 3C below show: construction contract approval process (Figure 3A); the supervision flow (Figure 3B) and the flow of payment (3C).

*Construction Contract Approval Process*

The PMT shall issue a Tender for a Contractor under Procurement Guideline of Malawi Government in cooperation with the NIPDEP Study Team and Local Consultants. Then the Task Force shall make a contract with the Contractor with the approval of NIPDEP Team and PMT.

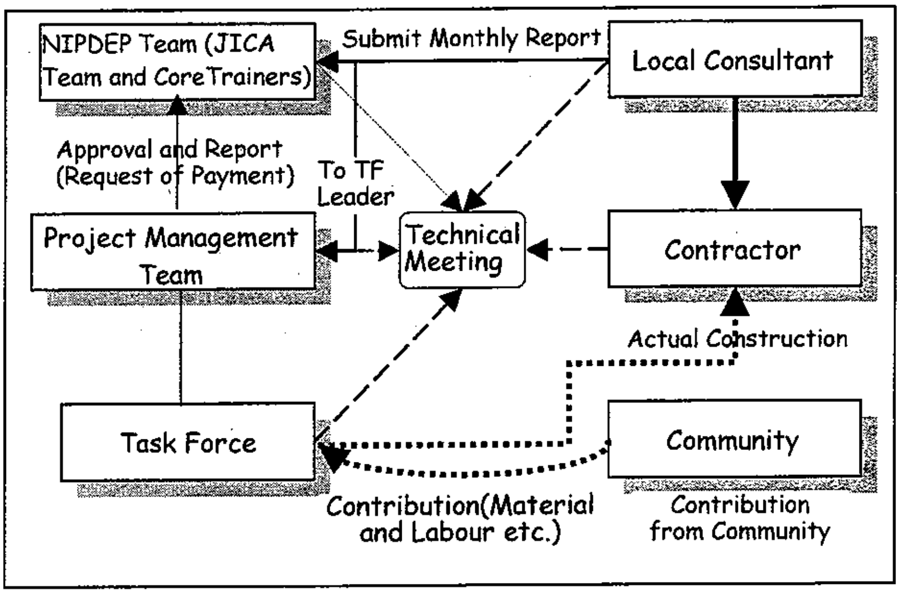
**Figure 3A Construction Approval Process**




*Construction supervision flow*

Local consultants will execute daily construction, provide supervision and shall submit a monthly report to NIPDEP Team and PMT (Chairperson of Task Force). The Task Force will mobilize the community, as appropriate, and supervise their activity. The Task Force will need to understand the progress of construction through a technical committee meeting. Task Force/PMT shall submit monthly monitoring reports and also make approved schedules requests to the NIPDEP team to pay the contractor.

**Figure 3B Construction Supervision**



*Flow of Construction Payments*

While the NIPDEP Team will make approved scheduled payments to the contractor based on requests from the PMT, the Task Force will make payments for direct expense for community activities based on the approved payment schedule.

**Figure 3C Flow of Construction Payment**

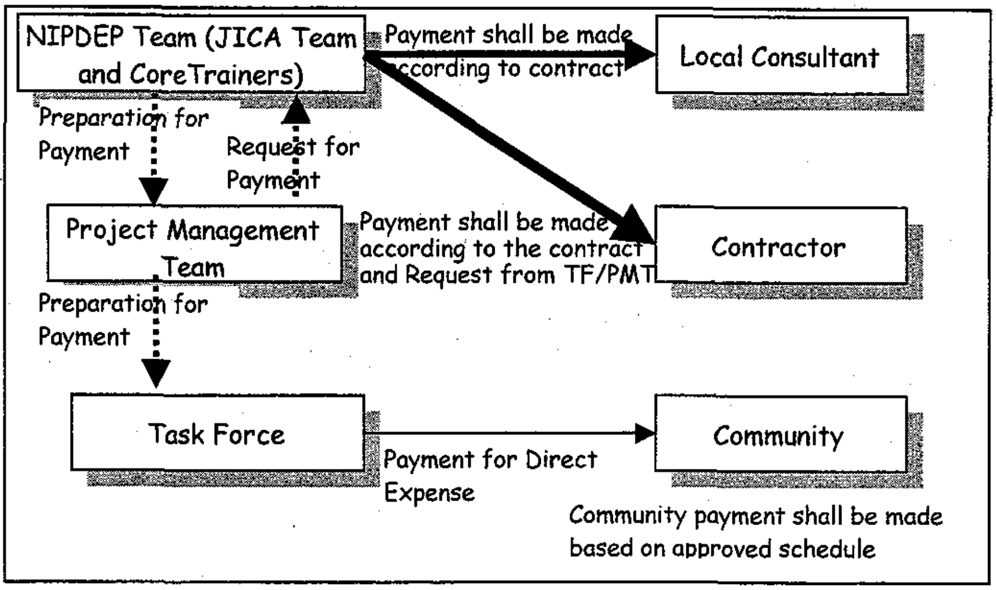



Figure 4 below shows the implementation schedule for FY 2003 for construction. Because the time frame for the construction projects is so limited in FY 2003, it is necessary that the timeline in Figure 4 be followed as closely as possible by all districts with construction projects, i.e. school blocks, teacher houses and laboratories.

**Figure 4, Implementation Schedule for School Block Construction**

| Activity/Period (Month) | Executing Organization | May | June | July | Aug | Sep | Oct | Nov | Dec | Remarks |
|---|---|---|---|---|---|---|---|---|---|---|
| Task Force Meeting | | | | | | | | | | |
| Site Survey for Needs | PMT/ NIPDEP Team | | | | | | | | | School Selection and Selection of Standard Type |
| Tender (Consultant) | NIPDEP Team | | | | | | | | | For Natural Condition Survey, Tender, Application, Arranging Design, Construction Supervise, |
| Natural Condition Survey | NIPDEP Team /Consultants | | | | | | | | | Soil Condition (Foundation), Site |
| Application for Building Permit | Consultants | | | | | | | | | |
| Arrange Design and Preparation of Tender Documents | NIPDEP Team /Consultants | | | | | | | | | In Case of Applying Design Standard |
| Community Mobilization | Task Force | | | | | | | | | |
| Issue Tender (Contractor) | PMT/ NIPDEP Team / Consultants | | | | | | | | | |
| Review Tenders and Selection of Contractor | PMT/ NIPDEP Team / Consultants | | | | | | | | | |
| Land Leveling, Brick Baking | Task Force / Community | | | | | | | | | Contribution from Community |
| Construction | Contractor / Community | | | | | | | | | 14 -15 weeks *1 |
| Monitoring and Evaluation (On-Site Construction Supervision) | Consultants/ Task Force | | | | | | | | | |
| Monitoring and Evaluation (Report of Progress ) | NIPDEP Team / Task Force | | | | | | | | | Once a month |

*1 Case of School Brocks, Teachers House 8 Weeks, Pit Latrine (4 Week)

## *PROCUREMENT PROGRAM IMPLEMENTATION PLAN CORE STEPS*

1) Task Force Meetings. Conduct meetings of Task Force responsible for procurement pilot project to inform members of project, their role (Terms of Reference) in the oversight for the project. Meet periodically throughout the project.

2) Procurement Survey of Needs. Complete inventory of existing materials or equipment and their condition as a form of needs assessment, if necessary, and survey potential users as to specifications (e.g. kind or type, number, possible cost, capacities, etc of equipment to be bought) for commodity.

3) Select vendor or manufacturer. Must have a process or procedure that is transparent and assures that purchase will be of appropriate quality and price competitive.

4) Execute order or contract for purchase. If needed, have contract that protects purchaser and vendor and includes guarantees for quality, specifications met, installation, damage, and other factors to assure delivery of the right product on time and in working order. Also, contract or order must specify terms and conditions for delivery and initial installation and maintenance. In this NIPDEP project, purchasing will be done directly by NIPDEP Team, if it is a major expense item.

5) Delivery and training. If delivery not within vendor contract or order, provide transport for delivery to sites and deliver commodity or commodities to sites. If training not within the vendor contract or order, training on the use of equipment will be required locally to make it operative.

6) Follow-up inspection To insure that commodities are delivered and, if equipment, it is installed and working properly.

7) Provide maintenance. If needed.

8) Conduct follow-up evaluation To extent of usefulness and usage.

## *TRAINING AND CAPACITY BUILDING PROGRAM IMPLEMENTATION PLAN CORE STEPS*

(1) Task Force Meetings. Conduct meetings of Task Force responsible for procurement pilot project to inform members of project, their role (Terms of Reference) in the oversight for the project. Meet periodically throughout project

(2) Survey of Training Needs. Complete the design of training needs assessment survey. Complete distribution, collection summary and analysis of needs assessment survey. Note: The survey may be the responsibility of a training contractor, however, the contractors should be required to provide district level training for those who may do surveys of training needs in order to build a local capacity for conducting such surveys on its own.

(3) Complete Training Program Description. Complete outline description of course/program, including: length of course/program, schedule for instruction, daily time schedule, target groups to be trained (including qualifications or criteria for selection of participants), number of participants to be trained, learning objectives, and expected outcomes (competencies), teaching and learning materials required, special equipment required, learning assessments to be used, qualifications/criteria for trainers to be used the selection process to be followed, Terms of Reference for instructors or trainers, and physical requirements for instruction (space and furniture).

(4) Decide on Deliverer of Program. Complete contacting persons or organizations which can assist in the delivery of the course/program e.g. Malawi Institute of Education (MIE).

(5) MIE Contract. If MIE will deliver program, complete contract for services spelling out terms and specifications in #3 above and the obligations of the pilot project.

(6) Secure site for training (venue). Complete arrangements for securing the venue for instruction, including reservations for the Teacher Development Center (TDC) or other facility and make formal agreement or contract, if one is required, to assure space.

(7) If not MIE, design program. If not a training package from MIE, complete description of program as in #3 above and complete solicitation process for instructional position (s) for course/program, including for potential candidates course/program information in #1 above, criteria for appointment, professional expectations, compensation, the application process, criteria or qualifications for selection, and the schedule for appointment.

(8) If not MIE, complete selection of instructional personnel. Contract, through an open, competitive and objective process, using qualifications and criteria described in the description in #7 above, using resumes, recommendations and, if possible, interviews as a basis for selection.

(9) If not MIE, hire instructional personnel. Complete contracting with instructional personnel. In writing, spell out what is expected of instructor and other obligations as to punctuality, attendance

(10) If not MIE, acquire materials. Complete acquisition or procurement of instructional materials for course/program.

(11) Complete recruitment of participants. Complete recruitment of participants, including criteria or qualifications for participation, registration or admissions process required and deadlines for enrollment. If PEAs primarily will do recruitment, then they should be briefed on selection process and be provided course/program description in #3 above. The description in #3 above will help PEAs or other recruiters a

common understanding of what the program is about and how to participate. Also it will help to identify and encourage appropriate candidates to apply, persons who fit the target group.

(12) Select participants. Complete selection of participants based upon admissions or registration criteria or requirements to insure that participants are in the target group.

(13) Inform Participants. Complete informing participants of their selection and inform them as to when and where to arrive and what to expect in training and what support they will, if any (allowances, travel, etc.) they will receive during the training.

(14) Complete Program. Complete the conduct of the program.

(15) End of program satisfaction survey. Complete participant and instructor (s) evaluation of the course/program to ask about program satisfaction, criticisms of delivery, etc.

(16) Complete monitoring and final reports, including analysis of objectives and outputs achieved, numbers trained, lessons learned, etc.

(17) Complete final funds accounting Report summary of actual expenses for the course/program, indicating what was budgeted and what was spent.

(18) Follow-up Evaluation. Complete follow-up evaluation of extent to which project goals and objectives were met and what changes in behavior or improvements in performance on the job can be observed or determined. The Baseline Study will cover this area.

During the workshop, the district implementation team is to receive instruction on how Task Forces should keep a running or daily accounting on the extent to which the above activities and steps and others which may be added by the Task Forces are started and completed for each pilot project. This daily log will help support Task Force monthly reporting to the PMT on Matrix 6, in Chapter VI, which summarizes the daily record or log.

## MATRIX 3: PILOT PROJECT ACTIVITY STEPS TIMELINE AND RESPONSIBLE PERSONS

**DISTRICT:**
**PILOT PROJECT:**

| No. | Activity Steps | Outputs | Day to Day Administrator | Manager | Schedule (Weekly) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| | | | | | June | | | | July | | | | August | | | | September | | | | October | | | | November | | | | December | | | | January | | | | February | | | | March | | | |
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# UNIT V

# MAJOR PILOT PROJECT MANAGEMENT ACTIVITIES AND RESPONSIBILITIES

## *Major Management Functions*

To properly implement a pilot project, there are needs for implementers for all projects to understand and handle:

- *Contracting for construction, procurement and training and capacity building;*
- *Financial operations, including budget planning, accounting and bookkeeping, and reporting; and*
- *Global baseline studies and evaluation.*

With respect to the third management function or activity, the conduct of a global or project-wide baseline survey there is a separate Guideline, Baseline, Mid-Point and Post-Pilot Project Evaluation and will be a part of this workshop.

Pilot projects fall into three major categories:

- *Construction*
- *Procurement*
- *Training and capacity building*

Each project plan contains *a core or standard* set of implementation activities or steps, which are found in this Manual on most of the Implementation Plan formats and matrices to be completed before impacting on any implementation activities. These implementation activities or steps are covered in detail in Unit IV. The core or standard activities or steps to follow to make a pilot project operational are different for each kind or category of project.

## *Contracting*

In order to implement some of the activities for many of the pilot projects there is a need to have a written contract. This will insure that services are performed between those hired to perform the services or provide commodities and those (the project) receiving and paying for the services or products. In other words, a contract is typically a written document stating clearly what is expected from both sides of a transaction legally binding both parties to the terms of the contract.

Contracts will be necessary for insuring the carrying out of several major activities, as follows:

(1) *Overall Management Contracts.* The NIPDEP project will write a management contract with each PMT to perform certain duties related to its Terms of Reference (TOR). Management and operational contracts will

be written with each Task Force to perform duties related to its TOR, including the management of timelines, inputs, outputs and finances for their respective pilot projects.

(2) *Construction* contract between a task force chairman and a construction contractor to state clearly all the expectations on both sides for the contractor and for those authorized to contract for construction.

For example, a contractor would be required in a contract to:

1) do site preparation;
2) purchase materials and supplies;
3) hire labor;
4) carry out the construction of facilities within budget according to specifications;
5) purchase or sub-contract for fixtures and furnishings;
6) meet the delivery schedule for a completed building to specifications after inspection;
7) pay penalties for non-performance.

For the other side, there must be:

- stated obligations for scheduled payments for the delivery of products (buildings);
- supervisory and inspectorate responsibilities not under the contractor;
- If there is community involvement, the extent to which the community will make bricks, supply materials, do landscaping or volunteer labor.

The contract must be clear to both sides as to what is expected and what are the consequences for non-performance.

(3) *Procurement* contract between Task Force or PMT for the purchase of office or instructional equipment, spelling out:

- the number of items to be purchased, and their precise specifications;
- costs per item or unit,;
- installation and maintenance obligations;
- delivery and payment schedule by those making the contract to get the goods or services.
- protections for the purchaser as to damaged goods, improperly delivered services or late delivery;

If there are local purchasing procedures in the district that insure protections for all parties, they may be used after review and approval by the PMT and NIPDEP team headquarters. If there are multiple district requests for the same item or product ways should be explored possibly to have the items purchased centrally by NIPDEP project headquarters, if by doing so, savings may be realized by bulk purchasing.

(4) *Training* and Capacity *Building* contract between PMT or task force for conducting a training program, such as one most commonly between a district and the Malawi Institute of Education (MIE) or others to deliver the training. The PMT or the task force wanting the training services should be:

- specific with respect to the contractor's obligations to deliver a curriculum and instructional program according to the survey of training needs of the target group (should be aligned with the gaps or deficiencies assessed in terms of knowledge, skills and competencies to be addressed by the contracted program);
- schedule for the program;
- number of participants;
- materials to be prepared;
- special equipment required;
- qualifications of participants;
- qualifications of instructors to deliver the program;
- the venue; and
- all the cost obligations for both sides for the delivery of the program.

Typically, most of the deliverables in a contract will be fulfilled by the organization which is to deliver the training program, but matters such as the venue or place for the program and its costs or costs for allowances and transportation, etc. for the participants may be borne by the organization desiring the contracted training services. Training contracts, as with all contracts, must be clear what is wanted, who is to do what, costs and financial obligations clear, schedules detailed and, if applicable, non-performance penalties fair and spelled out.

In addition to the above contracting guidelines for construction, procurement and training, the signing parties to all contracts must not only be established, but signatures on contracts must be by persons who have the stated authority to sign them. This stipulation is true with respect to the contractor as well as those who sign contracts for services or purchases for the pilot project. If there are non-performance conflicts, the issue of authorized signatories will be an immediate issue.

### *Financial Operations*

Operating Budget, Banking and Accounting

The proposals for funding from JICA submitted in March 2003 contained a budget request. Those request budgets now must be converted into specific *operating budgets* and into a bookkeeping system to assure that the funds use is accountable. Allocations to specific pilot projects within a district will be made to each Task Force or a group of similar projects under one Task Force. The Task Force leadership will have day to day responsibility for the accounting for all funds and timely requests for re-imbursement for expenses either to be incurred or already incurred.

This workshop will provide time for training on the required accounting and bookkeeping procedures, including daily income and expenditure logs and formats for weekly and monthly summaries for reporting purposes to the PMT as well as ultimately to JICA. These logs and reporting formats are found in Appendix I.

*Activity Budget Matrix 4* which follows will need to be completed, preferably before this workshop. To complete this Matrix, it will be necessary for the team to list the core implementation activities and steps in the left hand column and any additional ones inserted by the district implementation team. In the next column, headed "Input," the team is to list the types of expenses or resources needed to carry out the activity or step in the first column, such as personnel, allowances, transportation, equipment, or materials. The total cost to implement the activity, if there is a cost attached, is to be put in the last column to the right. The total cost, not the cost for each individual item listed in the previous column should be indicated.

## MATRIX 4: ACTIVITY BUDGET

**District:**

**Project:**

| No. | Implementation Activity Steps | Input (Personnel, Allowance, Equipment, Materials etc) *Unit Cost and Quantity | Budget |
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As part of the implementation plan, it will be important for the district teams at the June workshop to complete *Matrix 5, Monthly Operating Budget Estimate.* The Matrix asks for the district implementation team to indicate when and how much of a disbursement is needed to carry out an activity or step for each pilot project. Such a monthly budget estimate will show budget requirements for the pilot program activities and steps to enable managers at the district to know when they will need funds to carry out a specific pilot project activity.

To complete activity budget estimate on Matrix 5, it may be necessary to budget weeks or days in advance of a pilot program's start. For example, start-up expenses may be incurred to draw up a MIE contract, prepare tenders for construction or draw up specifications for new equipment. The start-up expenses would be activities having expenses attached before the principal pilot project activity may occur. Later on, funds would need to be disbursed to conduct the activities and to complete them. The schedule of payments in Matrix 5 should be filled out by the district implementation team at the workshop to make it clear to those who will be disbursing money for a pilot project exactly when the funds are needed and in what amounts for what kinds of items (e.g. allowances, transportation, materials, etc.).

While Activity and Step Time Line Matrix 3 is helpful in showing the timing for disbursements of payments, the implementation team must think through carefully the corresponding timing for funds disbursements and what kinds of fund items are needed throughout the period of the pilot project. Matrix 5 will need to be completed for each of the district's pilot projects. Matrix 5 will need to be reviewed at least each month and revised as needed, Without such month to month financial planning, pilot projects may be delayed and negatively impacted in other ways.

As noted above, it is expected that this payment schedule will need to be revised monthly as estimates are either confirmed or not by actual expenditures for activities. It is anticipated that these estimates will undergo necessary changes as to scheduled amounts although the fiscal year totals for the pilot Project budgets are fixed.

## MATRIX 5: MONTHLY OPERATING BUDGET ESTIMATE (FY 2003/04)

DISTRICT ____________________

PILOT PROJECT ____________________

| ITEMS | PAYMENT SCHEDULE | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | 2003 | | | | | | | 2004 | | | TOTAL |
| | Jun. | Jul. | Aug. | Sep. | Oct. | Nov. | Dec. | Jan. | Feb. | Mar. | |
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| TOTAL | | | | | | | | | | | |

## *Bookkeeping and Banking*

### *Task Force Bookkeeping*

Bookkeeping as to the expenses under the direct responsibility of a Task Force will be the responsibility of the Task Force Treasurer, a person with expertise in accounting and handling of money. The bookkeeping daily ledger below, Figure 4, has been made simple enough to require only that the treasurer record the receipt of funds and itemized disbursements and calculate a running balance. The daily ledger or log will be the basis for the monthly report to be submitted to the Director of Finance (DoF) and the PMT. The kinds of expense items would be things such as allowances, transportation costs, snacks for a workshop, materials or stationeries.

Receipts for all transactions must be kept and submitted monthly to the PMT along with the daily ledger or log and the summary of monthly task force expenses by cost items. The task force should also keep a copy of all receipts. The task forces will not establish their own bank accounts, but rather have a secure place to hold funds from the PMT until they are disbursed for a specific task force activity (e.g. allowances or transportation for a training workshop).

### *PMT Bookkeeping and Banking*

The PMT will establish its own bank account (PMT/KRI account) from which funds will be deposited by the NIPDEP headquarters primarily for disbursement and use by the Task Forces. The bank accounts were to be established prior to the workshop. The DoF is responsible for the PMT with the maintenance of the bank account. The details are provided at the end of this Unit.

The DoF will be responsible for receiving for the PMT the monthly task force financial reports and the daily ledger, a monthly summary of the expense items and receipts and a file of the receipts. The DoF will review each task force report and raise any questions needing to be addressed to clarify the report or make it accurate. The DoF with the DEM will consolidate the various task force financial reports to reconcile the task force income and expenses with the disbursements made by the PMT to the task forces. The DoF will assist the DEM in completing the monthly PMT report to the NIPDEP, with respect to the financial status of each project and the finances of the PMT. It will be necessary for the PMT to keep its own daily ledgers and logs to account for its own expenses and the disbursements to the task forces and income and expenses from them. The format for the daily ledger is at the end of this Unit.

## ***Pilot Project Fund Operation***

What follows is a detailed set of definitions, procedures and guidelines for the administration of pilot project funds.

*PROJECT FUND*

1) PROJECT FUND is the amount agreed under the subcontract agreement between Task Forces and NIPDEP Team.
2) Each Task Force will have PROJECT FUND LEDGER.

NIPDEP Team and PMT shall have the duplicate of TASK FORCE PROJECT FUND LEDGER. They will be reconciled at least once a month according to the TASK FORCE PETTY CASH LEDGER (should reconcile with the amount in the NIPDEP BANK REMITTANCE NOTICE) and NIPDEP DIRECT PAYMENT NOTICE. In this way, Task Forces shall check the balance of Project Fund to date.

*ALLOCATION OF PROJECT FUND*

1) PROJECT FUND will be diverted in two ways: (i) Task Force PETTY CASH and (ii) NIPDEP DIRECT PAYMENT.
2) Task Force will sign the receipts when they confirm the receipts of the petit cash or the NIPDEP payment to contractors and providers.

*TASK FORCE PETTY CASH*

1) TASK FORCE PETTY CASH portion will be remitted by NIPDEP Team to PMT/KRI BANK ACCOUNT according to Task Force Monthly Monitoring Report.
2) This portion will be cashed by PMT to be handed to Task Force Treasurer without any delay.

*NIPDEP DIRECT PAYMENT*

1) NIPDEP Team will make the direct payment for contractors and providers as for construction and a part of procurement respectively.
2) This payment will be based on the following documents:
   - Construction: Request from PMT based on Monthly Monitoring Report by Consultant
   - Procurement: Confirmation of Delivery by Task Forces
3) The payment will be notified with NIPDEP DIRECT PAYMENT NOTICE by NIPDEP Team to PMT and Task Force.

*ADMINISTRATION OF PMT/KRI BANK ACCOUNT LEDGER*

1) For 2.2 TASK FORCE PETTY CASH, NIPDEP shall remit the portion from Task Force PROJECT FUND for several Task Forces together to PMT/KRI BANK ACCOUNT. The breakdown of each TASK FORCE PROJECT FUND will be notified with NIPDEP BANK REMITTANCE NOTICE.
2) PMT shall open the PMT/KRI BANK ACCOUNT LEDGER.
3) PMT shall confirm the receipt of PROJECT FUND at PMT/KRI BANK

ACCOUNT. Then PMT will reflect the receipt onto PMT/KRI BANK ACCOUNT LEDGER.

### *ADMINISTRATION OF TASK FORCE PETTY CASH*

FOR PMT:

1) PMT shall open TASK FORCE PETTY CASH LEDGER for each Task Force separately in order to keep the record of TASK FORCE PETTY CASH.
2) When the Fund is received by TASK FORCE PETTY, PMT should transfer the amount from the PMT/KRI BANK ACCOUNT LEDGER to the TASK FORCE PETTY CASH LEDGER.

FOR TASK FORCE:

1) BOOKKEEPING

   Task Force should keep record of TASK FORCE PETTY CASH into the Daily Log and submit together with the Task Force Monthly Monitoring Report.

2) KEEPING CASH

   Task Force keeps TASK FORCE PETTY CASH into the Petty Cash Box which should be kept INTACT and SAFELY.

3) PAYMENT

   Payment from TASK FORCE PETTY CASH shall be made in exchange with the official receipt.

4) KEEPING RECEIPTS

   All official receipts must be kept by the Task Force and submitted with the Monthly Report.

5) REPORTING

   TASK FORCE Treasurer should summarize the Financial Status Report monthly to be submitted to PMT.

### *Operation of the PMT/KRI Bank Account*

The operation of the PMT/KRI Bank Account should follow the procedures indicated below.

### *BANKING*

1) PMT shall open and maintain one current bank account for TASK FORCE PROJECT FUND, i.e. PMT/KRI Bank Account (preferably at National Bank of Malawi).
2) Maintenance Fee for the Bank Account shall be borne by the NIPDEP Team during the pilot projects, until November 2004.

## *SIGNATORIES*

1) All cheques must be signed, depending on the limit of the amount, by two or three signatories identified below:
   a) For payments below MK 100,000, by two signatories, of whom at least one must be from Category A (Preferably DEM).
   b) For payments above and equal to MK100,000, by three signatories, two of whom must be from Category A
2) The signatories are categorized as follows:

| | |
|---|---|
| Category A: | Chairperson of PMT (DPD) |
| | Secretary of PMT (DEM) |
| Category B: | Treasurer of PMT (DoF) |
| | Vice Treasurer of PMT (DEO Accounts) |

3) 2.3 PMT should keep the specimen signatures in safe for security and reference purposes.

## *DEPOSIT*

Only funds from NIPDEP Team should be deposited in the account.

## *BANK STATEMENT*

Instruct the bank to send you by post 2 copies of your statement each month. (One copy for PMT, another copy for NIPDEP Team)

## *Project Daily Ledger*

The Project daily ledger to be maintained by each task force follows.

## *Account Book Daily Log*

DISTRICT NAME
PROJECT NAME

Page No. ____________
Month/Year: ____________
Written by ____________

| Receipt No. | Date | Item | Type of Expenses | IN | OUT | BALANCE |
|---|---|---|---|---|---|---|
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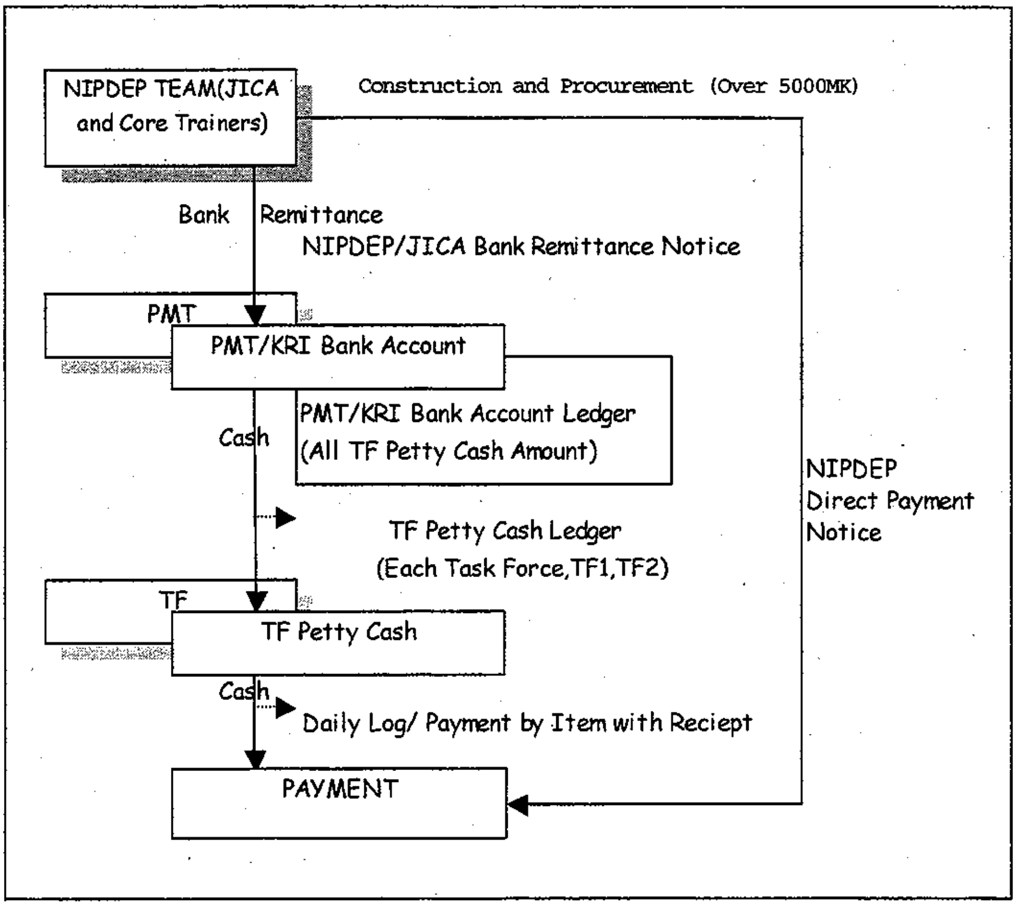
| | | Total: | | | | |

**Payment for *Construction and Procurement***

Figure 5 below explains flow of funds and payment for a construction and procurement project which is different from other payments for other projects.

**FIGURE 5**




## *Project Deadlines for Activities and Final Accounting*

*It is extremely important to note that the deadline for the completion of all pilot project activities for pilot projects for Fiscal Year 2003-04 is* *November 15, 2003.* *All task force and PMT financial accounts must be in order, completed and submitted to the NIPDEP Office in the Development House in the City Centre, Lilongwe, by* *January 15, 2004*, *including all supporting documentation needed for a final accounting to JICA.*

# UNIT VI
# PILOT PROJECT MONITORING AND EVALUATION

## *Monitoring*

Monitoring refers to the process of overseeing the implementation of the specific project activities and steps. It assures that inputs into project activities are carried out according to implementation plans and that the processes and steps are being carried out within the agreed time schedule or there are needs for adjustment. Activity and implementation steps can not be used in isolation from financial monitoring as they go hand-in-hand. Most activities and implementation steps for a pilot project cannot be carried out without a timely allocation of fiscal and physical resources. The expenditures for project activities must be within agreed schedules and amounts budgeted, so careful planning at project implementation is essential for a smooth, efficient and effective project from beginning to end.

## *Evaluation*

Evaluation, on the other hand, may include an assessment of the project *inputs* in relationship with the expected *outputs* as a result of the project activities to see whether those goals and objectives were met and what were the intended and unintended results. Evaluation concentrates more on the outcomes both intended and unintended with respect to goals and objectives. An *output* is generally a quantifiable expectation of the project,.

For example, in a training program, the objective might be to train 25 teachers in subject matter enhancement, using certain inputs (a training program with instructors, materials, allowances, etc.). Although the project plan was to train 25 teachers, the output may be only 22 or maybe 27, so the output of completers was not exactly as planned. Presumably, the output would raise a question as to why the output did not meet expectations, the answer to which might involve an *evaluation* of training outcomes. Even if the training program successfully met its targeted number of completers, the training program would want to know much more than that. Such an input/output analysis does not address the broader and very important questions, as to whether or not trainee learning and skill gaps and deficiencies were remedied.

We would want to know as a consequence of the training whether teachers now perform differently in the classroom and there is evidence of more effective learning on the part of students. The evaluation goes beyond counting inputs and outputs, but deals with the more difficult and important analysis of whether the project made a qualitative difference in the schools or educational community. While a new school block may have been constructed, it can be counted as an output, the question of the presence of a new structure does not address whether by having a new building teacher and students' performance has changed. Evaluation addresses the bigger question as to whether the intervention of a project was worthy of the investment and made any difference?

### *Evaluation Strategies and Methodologies*

The instruction on follow-up evaluation step will be carried out in this workshop by the Global Baseline Survey team. The pilot project evaluations will be carried out in an appropriate time after the completion of the pilot project, by persons who were not directly involved in the delivery and management of it.

The indicators from the Global Baseline Survey and the Project Design Matrix will be used wherever applicable to a pilot project..

### *Pilot Project Monthly Monitoring Matrix*

Each pilot project has a list of implementation activities and steps, most of them are the core or standardized ones on the various work forms covered in other parts of this Manual. The progress being made monthly on the accomplishment of these steps and activities must be monitored or tracked by the Task Force. Those responsible for project management and oversight should know at any given time exactly where the project is with respect to its time line, in meeting its objectives and producing expected outputs.. The budgetary expenditures are an essential part also of the assessment of progress, so a manager or someone in an oversight role will be able to see to what extent a pilot project is on schedule and staying within its budget limits.

The *Matrix 6, Monthly Pilot Project Monitoring Matrix* which must be *submitted monthly by the each Pilot Project Task Force to the district Project Management Team (PMT)* has been designed to make it easy to understand and make financial and programmatic management decisions on a monthly basis. The preparation of the report would be the responsibility of the secretary of each Task Force, and be reviewed by the Task Force before submission to the DEM and the PMT.

The Matrix 6 will summarize and show at a glance: where each project is with respect to implementation status of each activity and implementation step. It should also show;

- what outputs have been produced;
- what was budgeted;
- what was spent that month;
- what has been spent since the activity began;
- what is the accumulated percentage of the budget that has been expended to the date of the report;
- Who the responsible person for monitoring progress;
- number of visits by the monitor for the monitoring activity by that person, who has checked on the progress and when; and
- what further comments or observations can be made about the progress of the pilot project. For example, if project activities are not being finished on time and/or are over budget, that situation can be discussed in the last column on Matrix 6.

The monthly report will be supported by a daily expense log from which these monthly summaries are made. Instruction on the daily expense log will be provided at this workshop. *Some simulation training may be possible in the workshop, if the Matrix is* not clearly understood.

***Project Management Team (PMT) Monthly Report***

The PMT is required to report monthly to the NIPDEP project office on pilot project progress, issues and problems. The report will contain the individual pilot project progress reports (Matrix 6) and commentary on or a summary of the overall progress of the pilot projects in the district, identifying issues and problems relating to difficulties in achieving such things as schedules, acquisition of materials, contracting, financial difficulties and any other matters involving the efficient and effective implementation of the pilot projects that should be called to the attention of the NIPDEP Office. It is expected that the DEM will be responsible as Secretary of the PMT for submitting the report and insuring that the PMT has appropriately reviewed it. The outline for the Monthly PMT Report should be as follows:

## FORMAT FOR PMT MONTHLY REPORT

This report is to be prepared <u>monthly</u> by the DEM and reviewed by the PMT for submission to the NIPDEP Office in Lilongwe. Copies of the monthly Task Force Reports (Matrix 6) for each pilot project should be appended to this report, along with other financial reports as required by the NIPDEP Office, including the completion of Matrix 5, showing needed adjustments in the payment schedule..

*District Reporting:*______________________
*Date of Report Submission:* _______________________________
*Month Covered by the Report:*____________________________

*Summary of District's Pilot Project Progress/Achievements in reaching goals and objectives for individual projects*

| *Project Name (list)* | *Achievements* |
|---|---|
| | |
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*Project Implementation Issues, Problems and Difficulties (Be specific*

| Project Name (list) | Issues, Problems and Difficulties |
|---|---|
| | |
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| | |
| | |

*Actions Required by Whom to Address Issues, Problems and Difficulties*

| *Projects Needing Action* | *Action* | *By Whom* |
|---|---|---|
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*Next Steps in implementation of Plan, including a description of any adjustments or changes in the Plan required and to be taken*

| Project Names (List) | Next Steps |
|---|---|
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*Signed* ________________________________________
*Title* ________________________________________
*Date* ________________________________________

## MATRIX 6: MONTHLY PLOT PROJECT MONITORING MATRIX

DISTRICT ________________ Month ________________

Pilot Project Main Objectives

| Activities | | Status * | Expected Output | Budget | Expenditure to Date | Balance to Date | Monitoring | | Checked by | | Comment and Observations |
|---|---|---|---|---|---|---|---|---|---|---|---|
| # | Name | | | | | | Responsible Person | Number of Visits | Responsible Person | Date | |
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| BUDGET / EXPENDITURE SUMMARY | Budget Total | Expenditure to Date Total | Balance to Date Total | Accumulated % of Budget Expended to Date ( Budget Total divided into Expended to Date Total) |
|---|---|---|---|---|
| | | | | |

Status Key 1: Completed
2: In Process
3: Not Started

***District Pilot Project Annual or Mid-Project Progress Report***

Each PMT is required to submit to the NIPDEP headquarters a Pilot Project Progress Report in February 2004. Although further instructions will be provided, the report will contain:

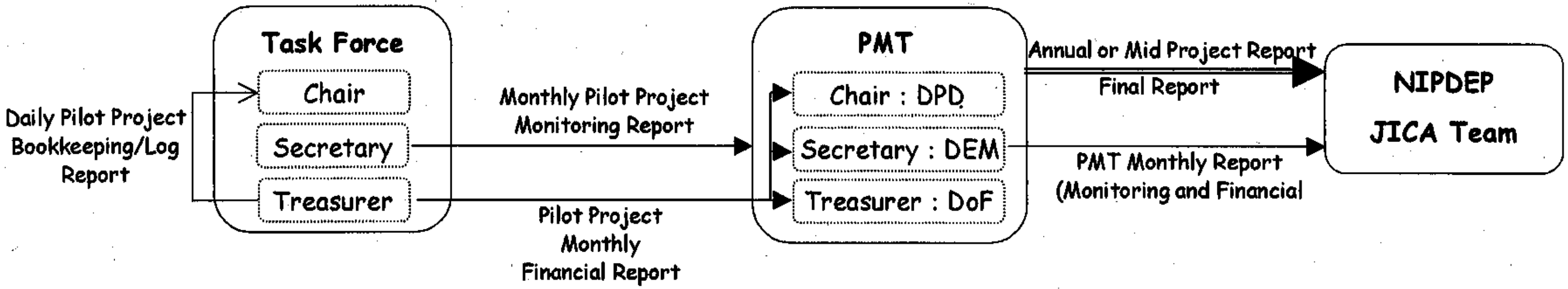
- An introduction describing the district and its pilot project plans relating the projects to its DEP improvement strategies and an outline of its projects, showing objectives, target groups , the monitoring and management structure and who has been responsible for carrying them out;
- A description and identification of Project Progress, relating to accomplishments and/or deficiencies with respect to project objectives;
- an analysis of the Baseline Survey in that district, and a description of implementation activities and steps carried out;
- A description of implementation or pilot project concerns and emerging issues; and
- A description of next steps to be taken to continue the projects based on lessons learned.

***NIPDEP Reports Summary***

Below is Figure 3, the Summary of NIPDEP Reporting, which shows the various reports referenced in this Manual, indicating flow diagram, the timing of the report and those responsible for the preparation and submission of the reports and who is to receive the report.

## FIGURE 6

## SUMMARY OF NIPDEP REPORTING




| Report name | Timing (daily, monthly, mid-project, final) | Group, Organization or Body Responsible for Report submission | Person Responsible for Preparing Report | Recipients(s) of Report |
|---|---|---|---|---|
| Monthly Pilot Project Monitoring Report | Monthly | Task Force | Task Force Secretary | PMT |
| PMT Monthly Report | Monthly | PMT | DEM | NIPDEP Team |
| Pilot Project Bookkeeping Log/Report | Daily | Task Force Treasurer | Bookkeeper | Task Force Chair, |
| Pilot Project Monthly Financial Report (Matrix 5) | Monthly | Task Force | Task Force Treasurer | DoF, DEM, PMT, NIPDEP Team |
| Annual or Mid-Project Report | February 2004 | PMT | DEM/PMT Approve | NIPDEP Team |
| Final Report | December 2004 | PMT | DEM/PMT Approve | NIPDEP Team |

# Unit VII

# Next Steps

**District Level Training Kick-off Workshops**

After the June Implementation Workshop, district level workshops will be held to orient PMT and Task Force members to the NIPDEP project and their respective duties and responsibilities. The program for the Kick-off Training workshops will be as follows.

*Length*: One and a half days

*Date*: During week of June 9

*Venue*: Boma - Specific location to be arranged by DEM

*Participants*: Members of the PMT and Task Forces, Division Planners and JICA Team member(s)

*Program (as below)*

**DAY ONE**

8:30 a.m. Registration

9:00 a.m. Opening Ceremony

9:15 a.m. Introduction and Workshop Organization

9:30 a.m. Overview of NIPDEP Project

9:45 a.m. Overview of District's Pilot Projects

10:15 a.m. Framework for District Pilot Project Management and Decision Making

10:45 a.m. Break

11: 00 a.m. Roles and Responsibilities

PMT

Task Forces

NIPDEP Office

MoEST

12:00 p.m. Lunch

1;00 p.m. Project Operations and Management

2:00 p.m. Organization of Group Discussions

2:15 p.m. Task Force and PMT Group Meetings to Discuss and Define Roles and Responsibilities

- Time lines for activities and steps
- Budget estimates
- Activity Responsibility Assignments
- Accounting and Bookkeeping
- Reports
- Task Force Meeting Schedule

4:00 p.m. Break

4:15 p.m. Plenary

- Summaries of Group Progress

5:00 p.m. Closing and Announcements

**DAY TWO**

8:30 a.m. Announcements

8:45 a.m. Continuation of Group Work

10:00 a.m. Break

10:15 a.m. Continuation of Group Work

11:00 a.m. Plenary

- Reports on Implementation Planning from Groups
- Summary by Facilitator

1:00 p.m. Closing