PD-ABE-178
66922

REPORT ON THE INTERIM EVALUATION OF THE HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT (HRID) PROJECT (612-0230)

Prepared for

The United States Agency for International Development

by

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April 1990

Contract No. PDC-1109-I-00-7119-00

Delivery Order No. 511-22

ACKNOWLEDGEMENTS

The Interim Evaluation of the Human Resources and Institutional Development (HRID) Project (612-023) was conducted by Creative Associates International, Inc. (CAII) from March 4 to April 7, 1990 for the United States Agency for International Development (USAID). The Evaluation Team assessed the implementation process of the HRID Project from its inception to the current phase. Although some interviews with contractors and participants in training were done in the United States, the assessment was conducted in Malawi.

The Evaluation Team wishes to acknowledge the support and assistance of Mr. Richard Day, USAID/Malawi Program Officer and the Interim Evaluation Project Monitor; Dr. Richard Shortlidge, USAID/Malawi Deputy Mission Director and HRID Project Manager and the USAID/Malawi staff who assisted with the facilitation of the evaluation, offered valuable insights and document review and generously provided their time.

We would like to recognize and thank Dr. Rudi Klauss, HRID Field Office Coordinator, Patrick Mulawu, HRID Field Officer and the staff of the HRID Project Field Office for their kind assistance, support, hospitality and document review.

The team wishes to thank Mr. George Mkondiwa, Chief Training Officer and the staff of the Department of Personnel, Management and Training for their hospitality, valuable time and assistance.

The Evaluation Team also wishes to acknowledge and thank representatives from the many organizations and institutions who contributed to the success of this project. Unfortunately, to name all those involved would require pages.

Finally we express our appreciation to Le Tran and Derry Velardi of Creative Associates for their assistance and support.

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ACRONYMS

AED	Academy for Educational Development
AETR	Academic Enrollment and Term Report
ACCIM	Associated Chambers of Commerce and Industry in Malawi
AID	Agency for International Development (Washington, D.C.)
AO	Administrative Officer
BC	British Council
BHC	British High Commission
CC	Chancellor College
CCAM	Chitukuko Cha Amanyi M'Malawi
CDSS	Country Development Strategy Statement
CIDA	Canadian International Development Agency
COA	College of Accountancy
CPA	Certified Public Accountants (Malawi)
CSR	Centre for Social Research
DEMATT	Development of Malawian Traders Trust
DEVPOL	Statement of Development Policies (Malawi)
DPMT	Department of Personnel, Management and Training
DS	Deputy Secretary
EEC	European Economic Commission
EO	Executive Officer
EOPS	End of Project Status
EPD	Department of Economic Planning and Development

ESCOM	Electricity Supply Commission of Malawi
FSN	Foreign Service National
GOM	Government of Malawi
HRD	Human Resource Development
HRDO	Human Resources Development Officer
HRID	Human Resources and Institutional Development
ICT	In-Country Training
INDEFUND	Investment and Development Fund
IPA	Institute of Public Administration
JCE	Junior Certificate of Education
KCN	Kamuzu College of Nursing
LOP	Life of Project
MAB	Malawi Accountancy Board
MARE	Malawi Agricultural Research and Extension
MBC	Malawi Broadcasting Corporation
MBS	Malawi Bureau of Standards
MCE	Malawi Certificate of Education
MEDI	Malawi Entrepreneur Development Institute
MEPC	Malawi Export Promotion Council
MIM	Malawi Institute of Management
MIS	Management Information System
MOA	Ministry of Agriculture
MOEC	Ministry of Education and Culture
MOF	Ministry of Forestry and Natural Resources
MOH	Ministry of Health

MOJ	Ministry of Justice
MOLG	Ministry of Local Government
MOTIT	Ministry of Trade Industry and Tourism
MOWS	Ministry of Works and Supplies
MUSCCO	Malawi Union of Savings and Credit Cooperatives
NRC	Natural Resources College
NCWD	National Commission for Women in Development
ODA	Overseas Development Agency
OPC	Office of the President and Cabinet
OPEX	Operational Expert
PAEC	Public Accountants Examination Council
PCC	Project Coordinating Committee
PHAM	Private Hospital Association of Malawi
PHICS	Promoting Health Intervention for Child Survival
PID	Project Implementation Document
PIL	Project Implementation Letter
PIO/C	Project Implementation Order/Commodities
PIO/P	Project Implementation Order/Participant
PIO/T	Project Implementation Order/Technical
PIR	Project Implementation Report
PO	Professional Officer
PP	Project Paper
PROAG	Project Agreement
PS	Principal Secretary

PSC	Personal Services Contractor
PSC	Public Service Commission
PT	Participant Training
READI	Rural Enterprise Agro-Business Development Institution
RFP	Request for Proposal
SADCC	Southern African Development Coordination Conference
SB	Statutory Bodies
SEDOM	Small Enterprise Development Organization of Malawi
SPC	Secretary to the President and Cabinet
SPMT	Secretary for Personnel Management and Training
STC	Staff Training College
TA	Technical Assistance
TO	Training Officer
TOT	Training of Trainers
UCE	University Certificate in Education
UM	University of Malawi
UNDP	United Nations Development Programme
US	Under Secretary
USAID	United States Agency for International Development (Mission)
USDH	U.S. Direct Hire
WG	Working Group
WID	Women in Development

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EXECUTIVE SUMMARY

A. Purpose of Evaluation and Methodology

The purpose of the interim evaluation was to assess the Human Resources and Institutional Development (HRID) Project (612-0230), with special attention given to revisions which were made during the project's early stages. The methodology employed was "fourth generation evaluation," which, while following familiar processes of interviewing and document review, used the evaluation activity to engage key actors in building an agenda for future project activities.

B. Human Resources and Institutional Development Project

The purposes of the HRID Project are to strengthen and expand capacity for human resource development and to improve efficiency and effectiveness of human resources employed in Malawi. The following objectives reflect the strategies to accomplish these purposes: (1) strengthen post-secondary training institutions; (2) increase public sector planning, financial management and management systems' capacities in critical development Ministries; (3) increase the number of women in professional, technical and managerial fields; (4) develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively; and (5) provide interim support for small and medium enterprises serving the private sector.

Project activities build capacity in selected training organizations by developing relevant training programs and staff, based on institutional needs analyses. In addition, project activities improve managerial performance in self-selected line agencies by supporting human resource development plans and managerial strengthening activities, such as the development and installation of a management information system. A special emphasis of these efforts is directed towards improving the access of women to training organizations, and to employment in non-traditional fields.

Project resources are used for participant and in-country training (long- and short-term, pre- and in-service), technical assistance, commodities and project management. USAID is providing the Government of Malawi (GOM) $18,000,000 in grant funds for eight years to accomplish project objectives. Project activities commenced in early 1988 when contractor staff arrived. As of March 31, 1990, approximately 72% of project funds have been committed to thirty-seven project activities.

C. Findings, Conclusions and Recommendations

1. Project Focus

a. Findings and Conclusions

Differences regarding the focus of the project were not resolved in a timely manner, allowing funding decisions to spread resources too thinly. The actions taken by the Project Coordinating Committee (PCC) in June, 1989 to narrow the focus of the project were necessary, should have occurred earlier, and may have been avoided by creating allocation priorities over time, and making more realistic assumptions about the behavior of organizations in a resource-scarce context.

b. Recommendations

Future focus of the project should be on assuring success of currently funded activities, strengthening linkage between human resource development and management development and institutional strengthening activities in critical development Ministries (i.e., Works, Health, Local Government), and the Department of Personnel Management and Training (DPM&T); and strengthening in-service training capacity.

2. Project Design

a. Findings and Conclusions

The general design strategy of linking human resource development to institutional needs assessment is valid, and seems to be working well within the University of Malawi. In line agencies of government, it is somewhat problematic for the following reasons: current personnel policies result in frequent staff transfers; the history of human resource development in Malawi has been tied to donor support and individual rather than organizational interests; and the wide variation in roles and tasks makes analysis and planning much more difficult in an agency setting than in a university setting.

Similar approaches are being used by other donors, providing an appropriate time for donors to assist the GOM in initiating needed changes concerning human resource development policies.

The project has experienced difficulties initiating management development activities to improve organizational performance. These difficulties were not adequately anticipated in the design phase: assumptions about capability to conceptualize, articulate and plan such activities may have been too optimistic. Capacity, commitment and willingness to undertake complex, time-intensive activities may also have been over-estimated.

The "process" approach taken in this project, while appropriate in principle for the project, was not adequately designed prior to implementation. For example, there was not adequate planning to produce the learning needed by stakeholders to guide the evolution of the project.

The flexibility of the project's "process" approach has allowed changes to occur in response to changing needs. For example, when funding for READI II became a reality, the project was able to change priorities.

b. Recommendations

The "process" approach should be continued, but needs more careful planning at all stages to ensure that all project efforts are carried out in a manner that is consistent with the spirit of collaboration underlying the process, and leads to learning needed to allow the project to evolve in an informed, proactive way.

The project, particularly the Working Group, needs to develop a more deliberate plan to model the processes and outcomes it is helping others to acquire.

Donors need to develop a coordinated effort to assist GOM/DPM&T in responding to the timeliness provided by National Technical Cooperation Assessment Program (NATCAP) for initiating changes at policy and operational levels regarding human resources development.

The HRID Working Group, and particularly the Field Office staff, needs much more substantive involvement assisting critical development Ministries to plan and initiate project activities which link human resource development and management development.

3. Project Decision Structure

a. Findings and Conclusions

After an uncertain start, the PCC is operating effectively, but the subcommittee structure has not performed as expected and is in a state of limbo.

b. Recommendations

It is recommended that the PCC develop a strategic plan regarding its mission, activities and resources for the remainder of HRID and beyond. It is also recommended that the PCC request the HRID Working Group to prepare an Action Plan for the remainder of the project, including: a Monitoring and Evaluation Plan; a statement of roles and responsibilities for key institutional actors, including the PCC and grantees; proposals for resolving the

subcommittee problem and improving the proposal process; etc.

4. Project Management

a. Findings and Conclusions

The project is shifting from a phase of initiation and making funding decisions to a phase of servicing project activities and implementing a monitoring and evaluation system. Roles and responsibilities of key actors in this new phase need to be clarified and assigned. There is a possibility that additional staff may be needed in either the USAID/HRID Project or the HRID Field Office, depending on which office has primary responsibility for project implementation, and especially monitoring.

b. Recommendations

An Action Plan for the project needs to be developed and implemented as soon as possible. A key component in this plan is a monitoring and evaluation system which allows all parties in the project, from key institutional actors to grantees, to monitor their progress in a timely, efficient manner. It is recommended that responsibility for the implementation of a project monitoring system be delegated to the Field Office, and that DPM&T be provided resources to play an important role in this activity in order to strengthen its capabilities in this area.

It is essential that the roles and responsibilities for all project management tasks be clarified and assigned so that staffing needs can be ascertained, and needed changes initiated.

Important project documents need to be amended to reflect the changes that have occurred in the project.

5. Project Activities: General

a. Findings and Conclusions

Early indications are that activities being carried out will produce desired results in most instances. Activities having most success to date include strengthening of university-based training/education programs; advancement of women; and strengthening of organizations supporting the development of small and medium scale enterprises.

The activities having most success to date share a number of characteristics: their proposals met funding criteria most completely; they have planning capability, and a planning process that is participative; they plan human resource development to impact a critical mass of staff; and their budgets are appropriate and sustainable.

Attention is being given to developing a market orientation in training institutions. An attitude change among university administrators and faculty in this regard is taking place which should facilitate sustainability of project activities. Sustainability of activities in other settings is a critical issue needing more attention by government.

Activities to strengthen in-service training institutions outside the University need attention, as do all those in critical development Ministries which link human resource development and management development.

Of particular concern to the Evaluation Team is the situation regarding DPM&T, both as a "managing partner" in the project, and as a grantee. DPM&T does not appear to have the staff resources to participate as expected as a partner, nor to develop and implement the management development activities being supported by the project.

b. Recommendations

As recommended earlier, the Field Office needs to become more substantively involved with certain types of activities, and with certain grantees, such as DPM&T. It is most urgent that USAID, the Field Office and key staff within DPM&T meet to review DPM&T's role in the project, and develop a plan of action that is appropriate to DPM&T's needs and capabilities.

As part of the project's learning process, structured activities such as workshops and conferences might be carried out which would assist grantees in sharing experiences. In this way the exemplary activities could disseminate lessons and practices they have found useful.

The PCC should carefully review the High Risk group of activities identified in Section VII with the possibility of "decommitting" funds if viable proposals cannot be developed.

6. Project Resources

a. Findings and Conclusions

Eighteen million dollars looked like a lot of money at the start of the project. At this point, as the needs become clearer, it doesn't look like nearly enough to make a lasting impact.

Training activities seem to be well ahead of expectations, especially in terms of in-service training being received through the project, and women receiving scholarship aid.

Many of the participant training activities have weak post-training plans, and proposals are vague about processes to keep trainees in contact with their organization while in long-term training.

Use of technical assistance is proceeding well, although there is general concern among OPEXers that they may not be able to see their efforts institutionalized within their contract periods.

Commodity procurement has just begun. In many proposals the planned relationship of commodities to other project resources and activities is not well developed. Review of the commodity portion of proposal budgets appears to have been inconsistent.

b. Recommendations

The Field Office needs to give grantees assistance in planning post-training utilization of participant training, and assuring that organizational benefit is gained and institutionalized to the maximum degree possible.

Future proposals need to have human resource development plans more carefully articulated and linked with management development and institutional strengthening efforts. Closer budget review needs to be given to commodity requests, as well as more thoughtful integration of commodity needs with other development activities.

D. Lessons Learned

1. Project Design Implications

a. The Project Itself Is a Model for Institutional Strengthening

Projects based on a "process" model should be designed so that the project itself is a model in institutional strengthening for the groups and organizations with which it works. This means that all key activities and phases of the project should be designed, implemented and evaluated as learning opportunities for involved organizations. This expectation has important implications for the staffing and management of the project.

b. Missed Opportunities for Critical Analysis

The USAID project design and approval process failed to identify weaknesses or inconsistencies in the design, resulting in project implementation problems.

2. Broad Action Implications

a. Do Not Bet It All On the First Hand

In short, the key actors allowed all $18 million of project funds to be put on the table at the start of the project. This has led to several serious problems discussed in the report (unrealistic expectations among potential grantees, pressure for spreading funds to resource poor agencies, initial flood of paperwork which the project was not fully prepared to handle, lack of funding flexibility for future needs, loss of project credibility).

b. Start Small, Go Slow, Test, Listen, and Make Sure Everyone's Aboard

Projects based on a "process" design need to pace their activities in order to see if the process is working. This project started big, moved too quickly, did not test some of the key assumptions on which the project design was based (e.g., critical development agencies would want to undertake serious institutional strengthening activities; personnel policies would not hinder human resource development), and has not listened adequately to some of the key actors.

I. BACKGROUND AND INTRODUCTION

This document is the report of the Interim Evaluation of the Human Resources and Institutional Development (HRID) Project (612-0230) of the USAID Mission in Malawi, which began in the spring of 1988. The evaluation was carried out by Creative Associates International, Inc. (CAII) in Malawi during the period of March 4, 1990 to April 7, 1990. This section of the report is organized as follows: the human resource needs in Malawi; a description of the project; the evaluation Scope of Work; evaluation methodology; and the organization of the remainder of the report.

A. Human Resource Needs in Malawi

Since independence in 1964 Malawi has not had an adequate human resource base on which to carry out nation building efforts. At the time of independence there were no post-secondary training institutions, and Malawi's need for educated, professional, technical and managerial manpower was filled by expatriate personnel.

During the next two decades Malawi began to create a human resource development infrastructure. The University of Malawi was established in 1965, consisting of Chancellor College (liberal arts), the Polytechnic College (vocational); Bunda College of Agriculture; and the Kamuzu College of Nursing. Training institutions outside the University were created, including the Staff Training College, the Natural Resources College, the College of Forestry, the Lilongwe School of Health Sciences, the Malawi College of Accountancy, and, most recently, the Malawi Institute of Management. In addition, many government Ministries and parastatals created training programs to try to meet their training needs.

Despite these efforts, the human resource demands of nation building exceeded Malawi's productive capability. Government and donors carried out studies to identify strategies to improve the situation (e.g., Herbecq, 1985; Klauss and Yates, 1986; Deloitte, Haskins-Sells, 1987; World Bank, 1988). In general, such studies identified three critical areas regarding human resource development: (1) manpower demand and utilization has resulted in high vacancy rates in several professional and technical fields, particularly in the public sector; (2) budgetary constraints throughout the educational system have contributed to the lack of institutional training capacity, resulting in the need for external training and recruitment of expatriate training staff, both of which are costly courses of action; and (3) the lack of an effective system to plan and coordinate human resource development at a national level and at an organizational level. Based on these needs, USAID and other donors have sought ways to assist the Government of Malawi (GOM) to improve its human resource development system.

B. Purposes, Objectives and Description of the Project

The response of USAID/Malawi to these needs was the decision to initiate a project which would seek to address several of the needs simultaneously, within the context of policy priorities of USAID and the GOM. This initiative led to the Human Resources and Institutional Development (HRID) Project, an $18 million, eight year project whose goal is "to establish within Malawi a strong, efficient and sustainable human resources and institutional capacity for equitable economic growth" (ProAg, p.19).

1. Purposes and Objectives

The purposes of the Project as stated in the Project Agreement (ProAg) are:

a. To strengthen, broaden and improve the efficiency of Malawi's post-secondary degree and non-degree training institutional capacity to supply the private and public sectors with critically needed trained and experienced professional, technical, managerial and administrative human resources; and

b. To improve the efficiency and overall effectiveness of existing professional, technical, managerial and administrative human resources employed in the private and public sectors.

To accomplish these purposes, the following objectives are specified in the ProAg:

a. Strong, flexible and efficient training institutional capacity;

b. Increase and improve the capacity of trained and experienced professional and technical employees in critical development Ministries;

c. Increase [supply of] Malawian managers;

d. Strong institutional infrastructure for small and medium enterprise development;

e. Increase number of women in professional, technical and managerial fields; and

f. Develop capacity of DPM&T and development Ministries to plan manage and utilize personnel efficiently and effectively.

The End-Of-Project Status (EOPS) statements in the ProAg are basically restatements of the objectives, with the magnitude of

outputs for each objective stated in terms of an indicative outcome (e.g., "Specialized Bachelors of Agriculture program at Bunda College," which is one of seven outputs listed in the Logical Framework of the Project Paper for the first objective).

The project's objectives were modified in June, 1989 for various reasons, which are discussed in the next section of the report.

The revised, current objectives are as follows:

a. Strengthen the existing post-secondary training institutions;

b. Increase public sector planning, financial management and management systems' capacities in critical development Ministries;

c. Increase the number of women in professional, technical and managerial fields;

d. Develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively; and

e. Provide interim institutional support for small and medium enterprises and organizations serving the private sector.

The changes resulted in the project having a narrower focus and a more limited range of project activities. Sectors viewed as less critical have been de-emphasized in order to make possible greater support to areas with higher priority (strengthening of post-secondary educational and training institutions, creating opportunities for women, and strengthening senior and mid-level management in critical development Ministries). In-service training activities supported through the project have been narrowed to shorter-term degree and non-degree courses designed to enhance specialized skills in planning, financial planning and management. Under the revised objectives, longer-term academic training is mainly for faculty members of the University of Malawi.

2. Project Description

Individuals close to this project describe it as having a special and perhaps unique character because of the combination of several factors. These factors are summarized here to provide a context for discussion of the Scope of Work and evaluation methodology which follows.

The project has been designed and implemented with highest priority given to nurturing a spirit of collaboration among the key institutional actors at decision-making and operational levels. Collaboration is seen as being the necessary dynamic of interaction,

given the decision to have the project respond flexibly to human resource development needs, as determined by Malawians. This would lead some development specialists to characterize this as a stakeholder-driven type of project. In this case stakeholder involvement will continue throughout the life of the project.

Project evolution is based on general linkages to sector development objectives. There are illustrative types of activities in the Project Paper, but the expectation from the design stage of the project has been that the specifics of any given activity would evolve out of a process which includes potential grantees, the government's implementing agency (DPM&T), USAID and the contractor.

Another defining factor in this project is the attempt to foster human resource development based on organizational development needs as opposed to individual development needs. This is different from the historically implemented approach to human resource development in Malawi.

There are many HRD projects within USAID's worldwide portfolio, some of which have none of these characteristics, and some of which have one or more, along with more traditional characteristics of human resource development projects. However, very few have attempted to bring these characteristics together in one project, funded at a level of $18 million, in a country the size of Malawi.

C. Scope of the Interim Evaluation

The Scope of Work of the Interim Evaluation, reinforced in initial meetings with the Mission, stressed the need for the evaluation to have a "problem orientation" with an emphasis on "next steps." <u>It is important that readers understand the orientation given to the evaluation, since it results in the report having a critical character which belies the overall success of a highly innovative and complex project</u>. "At the end of the day," as they say in Malawi, this project is proceeding in a manner which should result in all project objectives being met. But since the process of getting there is "different," critical analysis at this stage of the project is very useful.

The specific issue areas identified in the Scope of Work are: project objectives; institutional development approach to training; donor coordination in human resources development; the project's proposal formulation and approval process; project operation; project activities; project management; and future directions of the project. Guiding questions in each of these areas was provided in the Scope of Work and are included in Appendix 1.

D. Evaluation Methodology

The methodology used was based on an approach known as "fourth generation evaluation" (Guba and Lincoln, 1989). It was chosen to

fit both the nature of the project, as described above, and the Mission's requirement for a problem-oriented-next steps focus. In some respects the methods of fourth generation evaluation appears similar to traditional methods; site visits to project activities and extensive interviews (Appendix 2), review of relevant reports, files and other documents (Appendix 3), etc. However, there are several fundamental differences between fourth generation and traditional evaluation.

One difference is the role of evaluators in initiating a dialogue with stakeholders, individually and collectively, around issues which the stakeholders identify as being significant. Another difference concerns the myth of evaluation objectivity. Traditional evaluation methods assume that there is an objective reality to be verified by impartial evaluators. Fourth generation evaluation makes an assumption that the reality of any process involving human interaction is largely the construction of perceptions, and what is important as an outcome of evaluation is movement among actors towards more mutually held perceptions about matters which are important to each.

This approach uses the claims, concerns and issues of all stakeholders as the organizational focus of the evaluation. The purpose of the interaction is to identify differences and agreement among the stakeholders. Through the process of engagement and dialogue, all stakeholders have relatively equal access to and "weight" in the evaluation, thereby empowering stakeholders who in traditional evaluations would be sitting powerless on the sidelines. The process produces an agenda for action which extends beyond the evaluation. Involvement also increases the likelihood that all stakeholders will be users of the evaluation information, as well as becoming mutually educated by the process. Feedback to the Evaluation Team from key stakeholders in the project confirmed that the expected outcomes of fourth generation evaluation had begun to occur.

E. Organization of the Report

The report is organized around issues that are important to all the key actors:

- Section II, project goals, design, focus, and external factors including donor coordination and the approach of other donors to meeting human resource needs in Malawi;
- Section III, the adequacy of the project decision structure, the collaborative process, and project procedures;
- Section IV, the adequacy, effectiveness and efficiency of management resources;

- Section V, the ability of the project to provide adequate learning to stakeholders so that the project can evolue on a well-informed basis;

- Sections VI and VII, project activities and their movement toward achievement of objectives and expected outcomes and adherence to funding criteria;

- Section VIII, use of project resources;

- Section IX, next steps;

- Section X, lessons learned.

II. ISSUES RELATED TO PROJECT SUCCESS

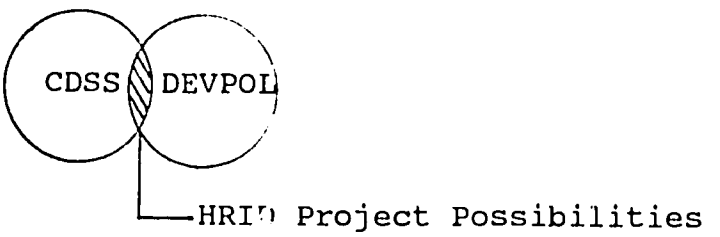
The success of any project depends upon the degree to which key factors are appropriately linked throughout all phases of a project's life cycle. Key factors generally include:

- clarity of the policy goals which the projects supports;
- appropriateness and feasibility of project design;
- "external" conditions (that is, conditions which are beyond direct control of projects but which influence their success); and
- management of project resources, meaning the planning, implementation, and monitoring of the human, financial and material resources of the project, and the coordination and integration of their use (Rondinelli: 1986).

Issues concerning the impact of these key factors are discussed in the following sub-sections.

A. Clarity of Project Goals and Focus

USAID's Country Development Strategy Statement (CDSS) and GOM's Statement of Development Policies (DEVPOL): 1987-1996, provide a policy framework within which the HRID Project operates. Ideally, HRID and other USAID projects should function within the areas of overlap between CDSS and DEVPOL statements of Malawi's development needs, as indicated in the diagram below.



There are a number of policy goals in the shaded areas which the HRID Project can and does support. This has created an ongoing issue of which policy goals HRID should support (i.e., how broad or narrow the focus of the project should be), how this support should be manifested, and, within the USAID Mission, who should control the support (HRID Project Manager, or sector project managers). Some members of the HRID Working Group and the USAID management staff have said that the fundamental question for the Evaluation Team is: What should be the focus of the HRID Project?

1. HRID Policy Goals: Historical Perspective

The existence of this question, this far into the project (in terms of time and committed project resources), indicates that USAID management has not resolved the project's "identity crisis." This seems to be an outgrowth of the conditions under which planning for the project evolved.

Project formulation began during a time when HRD offices throughout USAID frequently performed a service function for sector offices to carry out sector offices' training plans. This was the context within which the project was formulated in the Malawi Mission. The Action Memorandum recommending approval of the project reflects this context in describing the project as "targeted on the Mission's strategic objectives...[and becoming] the Mission's main vehicle of providing technical assistance and participant training resources for meeting these objectives."

At the same time, another perception of the project began to take shape in which the project would develop its focus out of the pattern of funding decisions made by the Project Coordinating Committee (PCC). The PCC is guided in its decisions by a set of criteria which do not mention specific policy goals of the GOM or USAID. The Project Paper and ProAg link expected project activities to CDSS and DEVPOL priorities in a general, illustrative way, but not to specific sector projects. Nevertheless, early briefings of the PCC and its subcommittees by the HRID Project Manager and Field Coordinator stressed CDSS and DEVPOL policy goals as the context for focusing proposals and decisions to strengthen institutional capacity and human resource development.

These two perceptions had the potential for being complementary, but over time and in light of the broad scope of the PCC's decisions, they became opposing perceptions and tension points in the Mission. Compounding the situation was a rapid rise in expectations among Malawian organizations about access to the project's training funds. The signing of the ProAg was given extensive publicity, and the level of funding ($18 million) was large and inviting. The nature of the funding process, and the publicity given the project, created great demand. The normal delays in project start-up seemed to exacerbate demand, and contributed to a strong feeling of urgency in the Mission and GOM for "action." This was the environment when the PCC met to decide first allocations of project funds.

When proposals were received and approved by the PCC in the first year, the emerging project focus did not fit either of the prevailing perceptions of the project's linkage to policy priorities. Furthermore, other policy considerations began to emerge within the Mission. For example, the need to use the HRID project "to supply the private sectors with critically needed... human resources" was essentially eliminated by other decisions to

refund a READI-type project. Training needs in the health sector began to take on more urgency. These and other factors led to action by the PCC in June 1989 to narrow the focus of the project, and to review some of its earlier funding decisions.

2. HRID Policy Goals: The Current Situation

At the start of the evaluation, the question of the project's focus had still not been answered satisfactorily as far as the management team of the Mission was concerned, with the result that this issue dominated discussions about the project. On the GOM side, there was a different perception: the project had allocated funds broadly, as expected, but not as broadly as some PCC members would have liked. The issue of tight linkage between policy goals and project activities tends to be viewed by Malawians involved with the project as an USAID issue, and the actions taken by USAID to force funding decisions into a narrower focus was seen more as a violation of the promise of collaboration than an effort to produce funding "rationality." From a Malawian perspective, based on resource constraints and a relatively short time horizon, a broad focus for distributing project resources is more equitable and politically rational.

Dialogue during the evaluation process led to the realization that the question of focus has essentially been answered, given that over seventy percent of the project's funds have been committed, as shown on the following table.

Table 1
HRID Project Funding Status
3/31/90

A.	Activities Funded to Date:	
	1. HRID Delivery Orders (implemented by AED)	$4,755,424
	2. Direct USAID payments to grantees	644,321
	3. AED Core Contract	1,474,414
	4. Other (evaluation, PSC, GOM US visit)	117,735
	Subtotal:	6,991,894
B.	Additional Firm Commitments:	
	1. HRID Delivery Orders	3,053,718
	2. AED Core Contract	1,400,000
	3. Evaluation, PSC	230,000
	Subtotal:	4,683,718
C.	Additional Tentative Commitments:	1,212,000
	Subtotal A+B+C (71.6%)	12,887,612
D.	Uncommitted: (28.4%)	5,112,388
	Total:	$18,000,000

This accounting does not include the $1,077,000 which has been earmarked for the Ministry of Health, and some of the activities with tentative commitments may not receive final approval. Through the dialogue process of the evaluation, key actors at the HRID Working Group level agreed that the focus of the remaining funds should be limited to the following options:

(i) continued support for pre-service training activities currently receiving HRID funds and demonstrating success or reasonable progress;

(ii) continued support for in-service training activities currently receiving HRID funds and demonstrating success or reasonable progress;

(iii) continued support for organization-specific management development activities currently

receiving HRID funds and demonstrating success or reasonable progress; and

(iv) support for new activities only if they demonstrate a linkage between a currently supported training program and a new organization-specific management development activity (e.g. Sociology of Women in Development and the development of a strategic planning capability in the Ministry of Community Services), or a new, in-service training program and an existing organization-specific management development activity (e.g., Malawi Institute of Management, Ministry of Health, Private Hospital Association of Malawi (PHAM), Ministry of Local Government, or DPM&T).

Top priority for commitment of any remaining funds, within the options cited above, should be based on the following criteria:

(i) likely impact of the funded activity on long-term institutional strengthening;

(ii) manageability of the activity from HRID Working Group perspective, and the individual considerations of USAID, DPM&T and the HRID Field Office;

(iii) overlapping high priority policies of CDSS and DEVPOL;

(iv) contribution to the accomplishment of the project's objectives, as reformulated in June, 1989; and

(v) consistency with the original philosophy and intent of the project, as reflected in the 12 proposal criteria, and sustainability.

3. Recommendations

The Evaluation Team recommends the following with regard to the question of the focus of the HRID Project:

a. Very careful reconsideration should be given to proposals "accepted in principle," but which have deficiencies in meeting the funding criteria, or whose funding requirements needed to produce success are likely to be more than available project resources. These are reviewed in the last group of activities in Section VII (High Risk Activities). A date should be established for

each of the proposing organizations to resubmit a proposal, and if a satisfactory proposal is not received by that date, the funding should be "decommitted."

b. The Mission management team should resolve any remaining issues regarding the focus of the project, discuss lessons learned from this project, and continue to support and guide the HRID Working Group towards successful implementation of the project through appropriate monitoring of project activities. Sector project managers should continue being alert to opportunities to link HRID funded activities to other USAID-funded projects in ways that reinforce the institutional strengthening efforts of the project, such as the ongoing efforts in the health sector.

B. Appropriateness and Feasibility of Project Design

Project design has several dimensions or meanings which are relevant in this case. The first concerns design in relation to policy goals. The second concerns design in terms of approaches to human resource development. The third concerns design in terms of approaches to project management, broadly defined.

1. Policy Goals and Project Design

As discussed in the preceding subsection, the project was not designed in a way to result in close linkage of project activities to policies having high priority to both the Mission and the GOM. While the potential for this linkage was possible, the design and implementation of both the decision structure and the proposal process resulted in this potential being minimized.

2. Approaches to Institutional Strengthening, Human Resource Development and Project Design

(It should be noted that during the evaluation an evolution in terminology seemed to take place. What had been referred to as institutional strengthening began to be referred to more and more as management development, since that term seems to reflect more accurately the intent of narrowed focus. However, the terms are not interchangeable; training of faculty members at the University of Malawi is institutional strengthening, but not management development, whereas training of staff members in administrative positions in critical development Ministries could be management development and/or institutional strengthening. Readers are therefore warned of this situation.)

The HRID Project has attempted to introduce to the Mission and

the GOM an effort which combines institutional strengthening and human resource development. This is characterized by an approach which draws heavily upon concepts of organizational development, as opposed to approaches which put greater emphasis on changes in organization structure, policies, and strategic planning (Hage and Finsterbusch, 1987). The organizational development approach rests on assumptions linking organizational performance to human behavior, and the capacity of human behavior to be changed by training interventions.

The human resource development component of the project was designed around an approach that emphasized (a) in-service training over pre-service education, and (b) organizational development over individual development. (The distinction between training and education is that the former focuses on skills development needed now in a specific role in a specific organizational context, while the latter focuses on future needs in general roles in unspecified organizations. The Project Paper and DEVPOL identify both training and education as being needed in Malawi.)

What is missing from this component in HRID is an emphasis on on-job-training over classroom-based training, and a related emphasis on specific skill building and problem-solving as opposed to more general skills development, even though DEVPOL identified both as needed in Malawi. While it may be suggested that post-training follow-up may emphasize these, others recommend that on-job-training and specific task-related skills development be considered an approach to human resource development that is distinct from classroom-based training and education (Kerrigan and Luke, 1987). As a separate approach to human resource development, a project design to accomplish on-job-training is substantially different than the design of HRID.

A basic question in a formative evaluation is: is this design appropriate and feasible for the needs and the situation? In this case, there are arguments both for and against the appropriateness and feasibility of the design. There is no doubt about the need to strengthen institutions important to development policies. There is no doubt about the need to improve the efficiency and effectiveness of managerial performance in critical development agencies. There is no doubt about the decision to focus on organizational needs as the basis for planning training activities. There is no doubt about the need to emphasize organizational development over individual development and in-service training over pre-service education. There is doubt about the feasibility of having an impact on managerial performance through the strengthening of training institutions, since training, while important to performance, is only one of several key variables which determine managerial performance. There is doubt about a strategy which attempts to strengthen training institutions and carry out organizational

development efforts in selected agencies in essentially unrelated activities. There are very few success stories in development management endeavors with this ambitious agenda.

As discussed in sub-section II.C below, concerning the personnel policy environment in Malawi, there is doubt about an institutional strengthening approach without important changes in personnel policies. In this regard, there is doubt about an "organizational development" approach to institutional strengthening, with its focus on the human resources of organizations, as opposed to an "organization design" approach, which intervenes in a broader and more strategic set of institutional factors. And, there is doubt about an approach that results in an emphasis on education rather than training. The activities of the project are mistakenly called training, when in reality all to date (except ESCOM and DEMATT/ToT) are education activities, and therefore not likely to have significant impact on the efficiency and effectiveness of specific organizations in the near future.

Should there be any changes in the project design at this point in the life of the project? On the surface it appears that there is little design flexibility left, except in matters of implementation. However, in reality there may be opportunities to redesign the management development activities in critical development agencies, since these are still in planning stages.

What is recommended in this matter is the following:

a. Find a committed "champion" to give the management development effort sustained support from the top of the organization throughout the life of the activity, or at least until it has enough momentum to prevent an early death.

b. Base the management development effort on a professionally developed strategic plan for the organization.

c. When justified by strategic planning outcomes, emphasize an approach to organizational strengthening which combines human resource development with strategies of reorganization, new technologies such as MIS, changes in policies and procedures, etc., rather than an approach which is limited to human resource development.

d. Whenever possible, refocus training activities towards an on-job approach rather than classroom-based.

e. Whether in critical development Ministries or

training institutions, continued HRID project support for training activities should result in a critical mass of Malawian professionals in the target organization receiving needed training as identified in a strategic plan. It is unlikely that a critical mass will ever be one professional, yet many approved proposals are based on this "design."

3. Approaches to Project Management and Project Design

There are several ways to consider the design of a project in terms of its relationship to management issues. Three approaches generally discussed in development management circles are the "blueprint" approach, the "process" approach, and a mix of the two, called by some the "structured flexibility" approach (Brinkerhoff and Ingle, 1989). A detailed comparison of these approaches is shown in Appendix 7.

Briefly, the blueprint approach is a top-down model of management, based on a priori management tools, such as budgets, schedules, etc., and planner-driven problem-solving. The process model is bottom-up, in which problems are identified by "beneficiaries" during planning and implementation, and management tools emphasize participation. The structured flexibility approach combines elements of both, seeking to use the best features of both depending on the situation. For example, preliminary planning done by planners would be carefully reviewed by beneficiaries prior to and during implementation.

The HRID was designed and has been implemented along the lines of the process model. There is an espoused theory of "collaboration" which has played an important role in how the management of the project has been perceived within the Mission and the HRID Working Group. In general, the process approach used in the implementation of the HRID Project has been practiced according to good principles of process management. That was best evidenced in the functioning of the PCC meetings attended by the Evaluation Team. It was clear that the PCC members now understand and are willing to apply criteria concerning proposal selection. For example, PCC members are articulate about issues of sustainability.

However, there are some indications that efforts may be needed to review and strengthen process management practices. Some of the beneficiaries/stakeholders have felt manipulated by the process. From a design point of view, a major shortcoming of the process design in the HRID Project has been its limitations in setting guidelines for decision-making and planning for implementation and monitoring. An important feature of the process model is that it stresses action-learning among the participants/ beneficiaries as a way to compensate for the lack of long-term

planning, and as a way to empower participants and beneficiaries. However the design of the HRID Project did not include the necessary steps to build an action-learning process or develop an implementation plan.

To overcome these problems, it is recommended that the HRID Working Group take steps to address project management related to the project's design. These include building into the project's implementation plan actions to eliminate the design shortcomings and strengthen the process approach, and enable the HRID Project to serve as a model of institutional strengthening and organizational learning to grantee organizations.

C. External Conditions

Of the many potential external conditions which affect projects, those which seem to have most relevance to the HRID Project are: the commitment of the key actors; the personnel policy environment of government; the financial conditions of the organizations who benefit from this project, insofar as these conditions affect the sustainability of project benefits; and the activities of other donors related to human resource development in Malawi.

1. Commitment of Key Institutional Actors

The key institutional actors in this project are DPM&T, USAID, the Project Coordinating Committee (PCC), the HRID Working Group, and the HRID Field Office. At the inception of the project, commitment of these actors to the goals and activities of the project was high. However, this condition appears to be changing. Some perceived reduction in commitment is to be expected as key actors with multiple responsibilities shift focus to other matters. But if the change reflects growing concern about some aspects of the project, the perceived lessening of commitment may be a more serious problem.

This apparent lessening of commitment does not represent a threat to the continuity of the project, but, if true and unchecked, may have an impact on the project's degree of success. If there is increasing use of non-decision making representatives in the Working Group and PCC, the ability of the project to command attention at policy and operational levels within the Government of Malawi and USAID/Malawi may be jeopardized. Additionally, the capability of the PCC and Working Group to act on project matters in a timely manner may be impaired.

It is the judgement of the Evaluation Team that the perceived reduction in commitment of key actors needs attention, especially at the Working Group level. There is concern that the lessening of commitment is due to a feeling that the spirit of collaboration, which has been one of the unique characteristics

of this project, has been undercut by changes, not collaboratively made, in the "rules of the game."

To address this situation, it is recommended that a series of steps be planned and implemented by the Working Group which will result in the newly appointed senior officers in DPM&T and USAID becoming as actively involved and committed to the project and its collaborative process as their predecessors.

2. The Personnel Policy Environment of the GOM

This project attempts to improve the management capability of critical development agencies in Malawi, and to increase the capacity of post-secondary training institutions by training selected individuals in areas which have been determined to be essential to management capability and capacity building. This approach rests on several key assumptions: (a) that institutional strengthening occurs through the training of individuals, (b) that individuals trained to fill specific organizational needs will return to the organization and carry out tasks for which they were trained, and (c) that the personnel policies of government support the first two assumptions.

In general, the evidence to support these assumptions in human resource development projects in Malawi and elsewhere is weak. While training is related to the process of institutional strengthening, it is seldom both a necessary and sufficient condition. Issues of incentives, leadership, organizational restructuring, appropriate technology, adequate resources, and effective policies and procedures are all factors which need to be dealt with <u>before</u> training activities can have an impact, <u>and</u>, for the most part, are beyond the scope and control of projects such as the HRID Project. That is, while the intent of the HRID Project is to put training within the context of organizational needs, the remedies available through the project (training, technical assistance and commodities) are not adequate to address the larger personnel policy environment of the project.

The policy of frequently rotating Common Service Pool civil servants within a broad range of positions in all Ministries means that it is unlikely that an organization will develop a critical mass of civil servants who have acquired skills needed by their organization. If civil servants are sent for training in response to assessed needs of their organization, they may be rotated before they have had a reasonable chance to see their newly acquired skills institutionalized.

To address this situation, it is recommended that the HRID Project, in conjunction with other donors and policy makers, plan and initiate a strategy to identify personnel policies which work against institutional strengthening and develop policy options which may be considered by government to improve the situation.

For example, officers who have developed specialized skills, such as human resource planning, should continue to have assignments which draw on these skills when rotated to new positions. Or, the range of Ministries within which officers might be transferred might be limited to those which are concerned with similar substantive matters and programs. Both of these remedies to rotation policy problems are being tried in some other countries with civil service systems similar to Malawi.

In addition, it is recommended that the HRID Project might focus on organizations and activities which are less vulnerable to personnel policies which interfere with institutional strengthening, such as frequent staff rotation. The University of Malawi and the Malawi Institute of Management are examples of organizations whose staff is less likely to be rotated, and therefore institutional strengthening efforts are more likely to be effective, all other things considered.

3. Financial Conditions and Sustainability

There are certain financial conditions in Malawi which are beyond the control of this project, but which have a direct relationship to the sustainability of project results. For example, salaries of government officials are sufficiently below the private sector in some professional areas and it may be impossible to retain government employees trained through the project. It is to the credit of the PCC that it has been exercising considerable care in reviewing project proposals with sustainability in mind. However, even this care may not prevent threats to project success if the general economy of Malawi does not improve, and if resultant financial conditions in the public sector worsen.

4. Donor Coordination

Major donors in Malawi have identified the need to strengthen human resources as a key to Malawi's development, and have instituted projects toward that end. There is general awareness of each other's projects and talks regarding the desirability of donor coordination have begun. However, meaningful actions towards this end remains an unfulfilled goal. The result has been little mutual understanding of each other's programs and, until the recent National Technical Cooperation Assessment Program (NATCAP) review, limited development of the potential for coordination.

The consequences of ineffective donor coordination raises several important issues related to the degree of success of the project. These issues are: (a) overtaxing weak management capability of Ministries through parallel but uncoordinated efforts, (b) competing for a relatively limited pool of qualified candidates for special training opportunities, (c) undercutting institutional strengthening efforts (such as offering participant

training to individuals without requiring proposal development which links training to organizational needs, or without requiring organization commitments in relation to training), (d) penalizing target agencies for developing multi-donor support, (e) reducing the need of aid-receiving organizations to grapple with issues of sustainability, and (f) failing to provide counterpart organizations with a model of inter-organizational cooperation and coordination.

Major donors are using human resource planning which ties training to project purpose. For example, the British Council "key sheet," which is developed annually with DPM&T, now links all training to development projects. Similarly, ODA technical assistance requires that both the technical assistance (TA) expert and the host organization develop short- and long- term goals in which the TA is linked to organizational goals. Failure to produce such plans results in termination of technical assistance.

Unfortunately, donors have not used the emerging similarity of approach to deal with issues identified above. Everyone is so busy implementing their own programs that there is not enough time to coordinate. The long run costs of this situation is ineffective and inefficient development efforts.

As suggested earlier, one hopeful development is the NATCAP effort to develop policy recommendations aimed at improving the coordination of technical cooperation provided by donors. One of NATCAP's subgroups has been looking into policy needs related to institutional development, and suggested recommendations include the need for organizations to develop the capacity to carry out institutional analyses as the basis for planning technical cooperation. This recommendation is conceptually and operationally similar to the human resource development principles which guide the HRID Project. If donors can generate the energy to follow through on NATCAP recommendations accepted by Government, it may be possible to address the issues identified at the beginning of this sub-section.

The HRID Project may consider the following recommendations in order to improve donor coordination within the context of this project, and through such action, seek to improve the degree of project success.

a. The HRID Project, through the PCC, should encourage and support the United Nations Development Programme (UNDP), (the designated convener of the Technical Cooperation and Institutional Development Sub-group of the donor community in Malawi) to convene regular meetings of donors and Government (DPM&T) to address specific, practical, operational issues of donor

coordination related to human resource development activities. An example of such an issue might be differences among donors regarding subsistence payments for in-country training programs.

b. The HRID Project may invite donor involvement in the technical review of future proposals for funding through HRID. This may improve the technical assessment of proposals, and increase donor understanding of the HRID process and project, which may lead to improved coordination in specific projects. For example, inter-donor consultation and coordination regarding support for Bunda College, the proposed MBA program, and the Ministries of Health and Local Government may lead to better designed efforts and less pressure on the limited absorptive capacity of these organizations.

III. HRID PROJECT DECISION STRUCTURE

The HRID Project is jointly managed by USAID and the GOM, based on collaboration and participation by the key institutions and organizations involved in human resources development in Malawi.

In the first sub-section below, the original design of the project's decision structure and processes is described, followed by a description of current structure, processes and activities. Issues concerning the evolution of the decision structure are analyzed in the second sub-section, and recommendations are made concerning actions during the remainder of the project.

A. Structure and Processes

In order to be responsive to the evolving nature of Malawi's human resource and institutional development needs and yet adhere to USAID's requirements, the project was designed to function through a Project Coordinating Committee and three subcommittees. The committee structure had the function of developing, reviewing and approving project plans.

A U.S. contractor was designated to handle the USAID inputs. Day-to-day coordination of project implementation was to be the responsibility of DPM&T. The ProAg specified the following composition of the PCC and subcommittees.

- The PCC was composed of the Office of President and Cabinet as chair, the Ministry of Finance, private sector representatives from industry and agriculture and USAID/Malawi.

- The subcommittee for the public sector and parastatals was composed of DPM&T as chair; the Ministries of Agriculture; Finance; Health; Trade, Industry and Tourism; Transport and Communications; and Works and Supplies and Statutory Bodies.

- The subcommittee for post-secondary training and educational institutions was composed of the Ministry of Education and Culture as chair, the University of Malawi, Chancellor College, the Polytechnic, Bunda College of Agriculture, Kamuzu College of Nursing, the College of Accountancy, the Lilongwe School of Health Sciences, and the Natural Resources College.

- The subcommittee for small and medium scale enterprises was composed of the Ministry of Trade, Industry and Tourism as chair, DEMATT, MUSCCO, INDEFUND, SEDOM, MEDI and the Ministry of Labour.

The activities of the project were to be developed under the direction of the PCC and the three subcommittees. Activities could be initiated by committees or proposed to committees by eligible organizations and institutions. Briefly, the way the project is designed to work is that organizations wishing to receive HRID funds develop a proposal, following HRID guidelines, and submit it to the PCC for consideration. Twelve criteria guide proposal development by interested organizations, and also guide PCC selection decisions. (Appendix 9 identifies these criteria.)

The Project Paper and Project Agreement identified types of human resource and institutional strengthening activities which might receive funding through the HRID Project. Numerous illustrative examples of specific activities were provided in these documents. Two categories of activities were identified: Category A activities, which were identified during the design stage of the project, were "either essential to the overall success of the project, or [met] a clearly defined and critical need in one of the priority areas of USAID's Country Program." Category B activities were less clearly identified, and were intended to be developed by the Project Coordinating Committee and subcommittees as part of their ongoing planning process, subject to review by the Project Coordinating Committee and USAID/Malawi on the basis of the funding criteria cited above.

The PCC met for the first time to review proposals in November, 1988. In attendance were DPM&T as chair, seven Ministry representatives, representatives from Statutory Bodies, the University of Malawi, the Associated Chambers of Commerce and Industry, USAID, and the Field Office. The subcommittees had met and forwarded project proposals to the PCC for their consideration. Sixteen proposals were considered and twelve were approved. Activities already underway at this time were a leadership workshop, two proposal development workshops, the University of Malawi Tracer Study, the women's scholarship program and some short-term technical assistance.

The second meeting of the PCC was held in March 1989 and was attended by DPM&T as chair, six Ministry representatives, representatives from Statutory Bodies, the Associated Chambers of Commerce and Industry, USAID and the Field Office. The PCC considered eighteen proposals and approved ten.

The third meeting of the PCC was a watershed point in the evolution of the HRID Project. Activities funded had consumed substantial resources, had deviated from the foci established in design documents, and had been decided without careful adherence to criteria and quality standards. In short, the demand for funding and the applications for funds had raced ahead of the structuring and organization of the project to deal effectively with its numerous constituencies. Expectations far exceeded the

ability of the project to respond and the project was in danger of losing its public credibility. The project was too broadly focused, it lacked sufficient quality controls, and the actions of the PCC were more reactive than proactive.

For these reasons the third PCC meeting undertook to refocus the HRID Project. Structural decisions were made at this time as well. The PCC was directed to take a more proactive role in the project. The Field Office assumed more responsibility for project implementation and took on tasks originally intended for DPM&T. In addition, the subcommittees were "put on hold." There was discussion about abolishing the subcommittees, but since they are mentioned in the Project Agreement it was felt that special action may be needed to restructure the PCC. In the meantime, a procedure of telephone polling subcommittee members to receive their assessment of proposals has been tried. Some subcommittee members interviewed by the Evaluation Team were strongly opposed to the procedure, since it prevents interaction and exchange of opinions.

In the fourth meeting of the PCC in November 1989, four proposals were reviewed and approved in whole or in part. The most recent meetings of the PCC were held in March 1990 and the Evaluation Team was in attendance. Proceedings consisted of customary business. The Evaluation Team noted the consistency with which members understood and applied their knowledge of project criteria and participated quite effectively in the proceedings.

In late 1989, the HRID Project recognized the informal activity that key individuals from USAID, the Field Office and DPM&T had been undertaking in matters of project planning and coordination. This recognition took the form of creating the HRID Working Group as the operational mechanism for managing the project and facilitating coordination and communication among key institutional actors. This group has the potential for carrying out important roles and responsibilities directly affecting the success of the project.

B. Issues Concerning the HRID Decision Structure and Process

1. Collaboration

Sources differ somewhat in their perceptions of the functioning of the PCC and the HRID decision process in general. A central characteristic of this project has been the stress on developing a spirit of collaboration among the key institutional actors regarding all policy and administrative matters. The project has achieved some measure of **collaboration**, but, there is a climate of uncertainty about the credibility of all partners to be fully collaborative and to respect the process that has evolved. As stated previously, the key factors here are that USAID needs to refrain from getting too far ahead of its partners in setting the

agenda for project issues. Greater care must be taken by USAID and the Field Office in assuring that DPM&T is accorded the benefit and responsibilities of a full partner in the management of the project, as the representative of the Government of Malawi.

2. Participation

The HRID Project was designed to encourage a broad base of **participation** through committee memberships. However, several interviewees used the word "rubber stamp" when describing the committee's decision-making process. In the early stages of the project, the process was well regarded, but participants increasingly believe that major decisions are made outside of the process by USAID and brought to the committee for legitimacy. These same critics would question the openness of the process, and would contend that some of the project's business is conducted outside the public forum. Others question the sincerity of desiring open participation in the subcommittees when, for example, subcommittees on the private sector and parastatals were chaired by representatives of government agencies.

However, another perspective on the issue of participation concerns the unrealistic expectations of project designers about the ability of subcommittee members and PCC members to participate impartially and without organizational interests in a process of allocating significant amounts of funds in an environment of resource scarcity. The primary criticism of the subcommittees is that they did not function as screeners of proposals, and functioned as promoters of self-interest. With the wisdom of hindsight it can be asked whether this behavior should not have been expected?

3. Fairness

Some of those interviewed raised questions about the **fairness** of the process. A process that was very open to applications at the start, has changed the rules of the game and has severely limited the access of statutory bodies and the private sector to project funding. The issue seems ironic to those who still sit on the PCC but have been excluded from benefitting from the project in a meaningful way.

The issue seems, to the Evaluation Team, less an issue of fairness and more an issue of priorities and responsibilities. The project was designed to be flexible and responsive to changing needs, as well as being guided by a proposal process requiring organizations to think about the relationship of human resource development and institutional strengthening. Those responsible for guiding the project in its early moments contributed to widespread expectations of receiving funds by not

taking steps to keep expectations in check. The subcommittees were charged with the responsibility of screening proposals, but did not "own up" to the responsibility. The PCC responded to widespread requests by trying to give a favorable response to all reasonable applications, certainly an action of fairness. Then, when faced with the tough task of narrowing the focus in order to assure meaningful project outcomes, the PCC did what it needed to do, and in setting priorities it was inevitable that some were going to go without funding. However, before that point in time there was an effort to have all who sought funding go through the same process, even though the PP and ProAg may have identified them as illustrative of fundable organizations with high priority needs. While there are discernible differences in the quality of proposals, and some questionable actions on other grounds, there does not appear to have been any decisions which would support a claim of unfairness.

4. Proposal Process Effectiveness

The HRID Project depends substantially on the application of and adherence to project approval **criteria.** The criteria are extensive and complex and they were not well understood either by the applicants or the decision makers at the start of the project, despite workshops intended to guide and clarify. A project of this type requires careful structuring from the start and substantial and widespread agreement on rules, criteria, procedures, "givens," and amount and availability of resources. The HRID Project failed early on to ensure that participants knew how to use the process and that deciders really understood decision criteria. Therefore, the project had to stop and restart in midstream at the cost of credibility, especially outside the University.

More recent project applicants have done somewhat better in reflecting the project criteria in their bids, but still fall short of adequate analyses, in some cases. It is fair to say that everyone has learned a great deal about institutional development and is able to view training and technical assistance in a broader and more developmental context.

5. Pressures For Action

Hasty implementation made genuine dialogue among the key players impossible. Needed priority-setting and front-end planning of the project was effectively set aside by the tide of events. Very high expectations generated by too much publicity, too early in the project forced pressure for decisions and confused the project's focus and intent. The project started before the subcommittees and the PCC and other key institutional actors were ready.

C. Next steps: Recommendations for the PCC

Even though over seventy percent of the project's current funding level has been committed, there are many decisions yet to be made regarding the HRID Project, including, perhaps, some of the following:

- What should the PCC do about the Evaluation Team's recommendations regarding priorities and criteria for the remaining funds?

- What should the PCC do about the "agreement in principle" to fund proposals which the Evaluation Team (and others) have doubts about?

- What should the PCC do about the subcommittees?

- What will the PCC ask the Working Group to do concerning an implementation plan for the project, and about simpler proposal criteria and procedures?

- What will the PCC do to emphasize management development activities in critical development agencies?

- What should the PCC do to increase DPM&T's involvement in and benefit from the project?

- What should the PCC do to improve donor coordination in human resource development and institutional strengthening?

- What should the PCC do to improve the credibility of the HRID Project, and ensure that, at the end of the day, there is a sustainable impact from $18,000,000 spent on human resource development and institutional strengthening in Malawi?

- What will the PCC do after it has committed the last dollar?

The Evaluation Team recommends that the PCC, as the focal point in the HRID decision structure, consider the following actions in order to address future decisions effectively:

1. Develop a strategic plan regarding its mission, activities and resources for the remainder of HRID and beyond, including consideration of issues raised in the evaluation about the PCC's role in improving donor coordination.

2. Request the HRID Working Group to prepare an Action Plan for the remainder of the project, including a

Monitoring and Evaluation Plan; a statement of roles and responsibilities for key institutional actors, including the PCC and grantees; proposals for resolving USAID's need for action in order to obligate funds to the project; proposals for resolving the subcommittee problem and, at the same time, improving the proposal process.

3. Set aside time to review periodically the state of human resource development and institutional strengthening in Malawi, and the progress HRID is making towards having an impact on the situation.

IV. PROJECT MANAGEMENT

An issue identified by key actors early in the evaluation as causing considerable concern is the need to review management of the project. The specifics of this issue, as identified through the evaluation process, involve: clarification of roles and responsibilities for various project management tasks; handling the volume of paperwork in a timely and efficient manner; establishing parameters for management oversight; determining the impact of non-HRID Project tasks (permissible through contract language) on the Field Office; and development of a system and procedures to monitor and evaluate the project and all its activities. This last point is covered in section V.

A thorough review of relevant project documents and extensive interviews with HRID Working Group members and other key actors were carried out during the evaluation in order to arrive at the conclusions and recommendations summarized here, and to create an agenda for post-evaluation action on these matters. A more detailed description of the consultation process used in the evaluation may be found in the Appendix, Detailed Project Management.

A. Roles and Responsibilities

The topic of roles and responsibilities of the key project actors (DPM&T, USAID/Malawi, and the contractor) is dealt with in a very general fashion in the Project Paper (PP). The PP suggests that DPM&T will play a key role in "coordinating implementation." However, the Administrative Analysis does not address DPM&T's institutional and staffing capability to assume implementation oversight functions.

Responsibility for coordinating implementation has moved progressively from DPM&T to the HRID Field Office. This has been necessary largely because of staff shortages in DPM&T. In June of 1989 the PCC assigned the Field Office the role of Secretariat to the PCC and the responsibility for assisting prospective recipients of project funding to prepare their proposals, two important coordinating tasks.

With the exception of the June 1989 action referred to above, there have not been any formal attempts since the project's inception to define and assign roles and responsibilities. Rather, roles and responsibilities evolve informally on an as needed basis. In some areas this works quite well. In others, it has resulted in unnecessary confusion (e.g. it is not clear exactly who is in the lead or who has the responsibility for carrying out a specific activity). In yet other areas failure to identify and assign roles and responsibilities has allowed important management needs to be overlooked in the daily press of routine tasks, even though their need has been recognized. For

example, the Field Office files document that the need to establish a project evaluation and monitoring system was essential to the "learning process" design of the project, however, action was not taken to follow-up on this need.

There is lack of clarity within the Mission on internal roles and responsibilities regarding the project. This lack of clarity is heightened by the impending departure of the Deputy Mission Director, who also serves as the Project Manager for the HRID Project and the relative uncertainty of the role of the incoming Deputy Mission Director vis-a-vis the HRID Project.

The evaluation process set in motion a process to address these needs. Following is a list of recommendations which have been agreed to by key actors as a starting point for continuing dialogue and action.

- All key actors (including internal actors within USAID/Malawi) should sit down together as soon as possible and reach agreement on specific roles and responsibilities under the project. It is particularly important that the members of the HRID Working Group reach agreement on what exactly should be within the domain of the Working Group. It is also very important that consensus be reached as soon as possible on the specific roles and responsibilities of the various internal USAID/Malawi actors (e.g., the new Deputy Director, the HRID Project Assistant, the Training Officer, the Program Office, and the Project Development Office).

- Once agreed to, roles and responsibilities should be formalized, preferably through the issuance of a Project Implementation Letter or, if the decision is taken to amend the project, through a Project Paper amendment. A preliminary list of roles and responsibilities of key actors which may be used as a point of departure for reaching agreement on the above may be found in the Appendix, HRID Roles and Responsibilities. This list, developed collaboratively,is incomplete and is expected to be completed by the key actors.

- As part of this discussion, the various parties involved in the project need to decide where responsibility for implementing project monitoring activities should be vested. At present it does not appear that DPM&T is sufficiently staffed to take on this role (although DPM&T may be very interested in being an active participant). This leaves either USAID/Malawi or the HRID Field Office as the entity charged with managing the implementation of project monitoring activities.

- With the assignment of responsibility for managing the

implementation of monitoring, systems for carrying it out need to be designed and agreed to by all parties and put into effect. This should also take place as soon as possible. The development of this system might be undertaken as a project learning activity and be carried out in a workshop setting with the involvement of some of the organizations which are receiving assistance through the project. This might assure that the resulting system was feasible and practical from all points of view.

B. Day-to-Day Management

The HRID PP makes few provisions for management oversight. As mentioned above, no provisions are made for DPM&T staffing to carry out its intended management oversight role. The discussion on USAID/Malawi management oversight in the PP is also vague. The only specificity is with regard to the contractor, who will have a full-time U.S. Field Coordinator in Malawi and a full time Malawian Field Officer.

The HRID Field Office has taken on an increased management burden since assuming two increasingly time-consuming functions: increased involvement in programmatic activities of HRID (at DPM&T's request); and increasing core management time devoted to procurement of technical assistance and participant training for non-HRID projects. The latter activity was anticipated as it was allowed for in the RFP and the subsequent contract with the Academy for Educational Development (AED). The Evaluation Team was asked to determine the impact of this activity on the Field Office and HRID Project activities. The Field Coordinator and Field Officer report spending about ten and twenty percent of their time on non-HRID activities: Table 2 below compares levels of effort given to HRID and non-HRID activities by the Field Office.

Table 2

Comparison of AED's HRID and Non-HRID Activities
(3/31/90)

ACTIVITY	HRID	Non-HRID
No. of Delivery Orders	27	11
Participant Training		
No. of Short-term	16	7
No. of Long-term	24	2
Technical Assistance		
No. of Short-term	1	0
No. of Long-term	5	2
Commodities		0
Budget Total	$4,755,424	$957,107

It is difficult to estimate the volume and type of activity which will be generated by Mission buy-ins outside the HRID Project. One project, Promoting Health Intervention for Child Survival (PHICS), alone may add as much as $1.5 million activity during the next year. Thus, forecasting of staffing needs is extremely difficult. However it may be possible to specify in each delivery order the likely level of effort needed to implement the activity, in an administrative sense, and authorize payment to the contractor on this basis.

During the two years that the HRID Project has been in operation both USAID/Malawi and the HRID Field Office have been deluged with the tremendous amount of paperwork surrounding the approval of proposals and issuance of A.I.D. documentation (Project Implementation Letters, PIO/Ts, PIO/Ps, PIO/Cs, Delivery Orders) required to launch what is now 37 project activities. The heavy commitment of project start-up time has resulted in difficulty in planning and initiating monitoring activities, as indicated earlier.

Provisions have been made in USAID/Malawi to cover increased management oversight responsibilities not provided for in the HRID Project Paper by hiring a half-time personal service contractor (PSC) a year ago, and by increasing the amount of time

of the Mission Training Officer from ten percent to almost fifty percent. However, there is a possibility that this may not be enough staff resources to handle day-to-day management oversight responsibilities. As indicated earlier, staffing requirements are further complicated by the departure of the Project Manager who also serves as the Deputy Mission Director. There is uncertainty about the amount of time the incoming Deputy Mission Director will have to devote to the project. Both the Project Assistant and the Training Officer acknowledge that they need guidance and orientation on internal USAID procedures in order to carry out more effectively any increased responsibilities.

Regarding the Field Office, no provisions have been made to date to review its staffing levels in order to adjust to requirements brought about by assuming coordinative responsibilities from DPM&T, and by non-HRID buy-ins from other Mission projects.

As in the case above, the evaluation process initiated a dialogue among key actors regarding day-to-day management issues, and began a process of developing options for addressing these issues. The following recommendations are the product of this process to date.

- Once roles and responsibilities are clearly defined and the decision is taken regarding where to vest primary responsibility for evaluation oversight and implementation monitoring, appropriate steps need to be taken to determine whether additional staff will be needed, and if so, to begin the process of acquiring this staff.

- Provisions need to be made to finance any increased staff positions identified as a result of the above exercise and steps taken to contract any needed personnel. In the case of AED, a modification to the core contract may be in order which would permit an increase in funding to hire additional field staff and which would add new field responsibilities in the programmatic area which were not contemplated when the AED contract was signed nearly two years ago. Another option may be to consider a "special" delivery order to cover increased Field Office needs. These options need to be explored with the Regional Contracting Officer, but only after needs are thoroughly assessed and justified.

- Finally, provisions need to be made to provide staff at USAID/Malawi and the Field Office with adequate training to assume any new functions they might acquire. It is recommended that steps be taken to send the USAID/Malawi PSC Project Assistant and the HRID Field Office Coordinator or Field Officer to the A.I.D. Project Implementation Course to be offered in Nairobi in the Fall of 1990. Similarly, provisions should be made to provide the Training Officer with training to prepare for increased project management

responsibilities in the future.

- Appendix 7 provides, for illustrative purposes, possible adjustments in staffing within the HRID Field Office and USAID/Malawi under two scenarios: (a) USAID/Malawi takes the lead role in oversight of project monitoring activities; and (b) HRID Field Office takes the lead role in this matter. Final decisions on staffing and functions should await a needs assessment, roles clarification and confirmation of the focus of future project activities.

- Regardless where responsibility is given for increased responsibilities for day-to-day management, it is necessary for all parties to increase their efficiency in processing routine A.I.D. administrative documents (Project Implementation Letters, PIO/Ts, PIO/Ps, PIO/Cs, Delivery Orders).

- Consideration should be given to making more time available in the Field Office for someone with administrative authority and familiarity with local procedures to handle matters concerning commodity procurement and logistical needs of technical assistance experts. Delays in handling these matters have a double price of lost time and lost effectiveness because of frustration and aggravation.

- Close review should be given to the increased management load to AED implied by non-HRID buy-ins and to the source of funding for core cost time used to process and backstop these buy-ins. At a minimum, additional core contract time should be factored in to handle non-HRID buy-ins. In addition, arrangements should be made to charge core management time devoted to non-HRID activities to the respective Projects under which they are financed rather than HRID. The Mission may reconsider the appropriateness/need to use the AED contract for all Mission participant training over the coming years given that there are other vehicles through the Office of International Training for this purpose.

- In order to facilitate future financial tracking and to ease the burden on any future grantees that have no prior A.I.D. experience, prior to formally approving new activities with entities with whom USAID/Malawi has no prior experience, the Mission Controller's Office should visit the prospective grantee in order to make sure that the grantee has in place financial tracking systems that meet A.I.D. needs. If they do not, provisions should be made, either through the Controller's Office or through a contract with a local accounting firm, to assist the grantee to put these systems into place.

All agreements currently in place under the project are based on proposals submitted by the grantee, reviewed and approved by the PCC, and officially concurred to by USAID/Malawi through Project Implementation Letters with the GOM. There is no formal written and signed commitment on the part of the grantee to assume the increased financial or other commitments implied by their taking on the grant. USAID/Malawi and the GOM should explore options for formalizing this commitment in writing. One possibility would be a memorandum of understanding between the grantee and USAID/Malawi which lists the commitments that the grantee agrees to incur upon receipt of project funds, both during and after the life of the project. While it is highly recommended that this approach be used for future commitments of funds, USAID/Malawi and the GOM should give careful consideration to the pros and cons of instituting memoranda of understanding for grants already approved where an appreciable amount of funding has been committed and/or the grantee has made a number of key counterpart commitments in its proposal which have funding implications.

V. MONITORING AND EVALUATION ISSUES

There is an urgent need to develop systems and procedures for monitoring ongoing project activities carried out by grantees and evaluating the progress of the HRID Project as a whole. Recipients of project funds are not yet required to submit reports, and the type of data they will be required to submit has not yet been developed. Because of this situation, and the changes that have taken place in project objectives since the PP and ProAg were written, the Evaluation Team devoted considerable time to developing the basic elements of a monitoring system.

In this section a distinction is made between monitoring and evaluation activities and the basic issues related to both are discussed in the first sub-section. In the next sub-sections the Objectives, End-of-Project Status (EOPS) statements and Indicators are listed and the elements of a monitoring system are discussed.

A. Monitoring and Evaluation Issues

Given the unique aspects of this project (a major focus on institutional development and a decision-making structure which is intended to embrace learning acquired during implementation and apply these learnings in the constant fine-tuning of project activities), the development and implementation of a plan to monitor and evaluate project activities is essential to effective project management.

The Evaluation Team was asked to differentiate between monitoring and evaluation. The purpose of monitoring is to ascertain that project activities are being carried out in a timely fashion. The purpose of evaluation is to determine whether or not the project activities are accomplishing their purpose. While a distinction has been made between monitoring and evaluation, the terms tend to be used interchangeably here. In the design of the monitoring system by the Evaluation Team emphasis was put on gathering information related to outcomes rather than daily management of activities. Further refinement of the monitoring plan will need to build in data collection about timely use of project inputs.

Monitoring and evaluation activities are carried out simultaneously at three levels: at the level of individual grantees, or project "activities" as they are referred to in the project; at the HRID PCC and Working Group level; and at the level of the Mission. Each level should have its own set of project-related tasks for which it has responsibility, and the function of monitoring is to see how these tasks are being done.

Each of the levels has its own scope of accountability, and the

design of effective monitoring and evaluation systems assures that each level collects and processes information needed not only at its own level in order to take needed corrective action, but that it also summarizes and reports to the next level necessary information. As mentioned several times before and worth repeating in the context of monitoring and evaluation, a primary intent of this project is institution building through a process of learning and adaptation. Therefore the use of information has more a character to "learn" than to "control," except that the idea is that grantee organizations learn to control their own human resources development activities more effectively rather than relying on external control to be imposed.

The collaborative learning context of this project needs to be kept in mind constantly. Because of this characteristic it is essential that decisions about key issues of monitoring and evaluating activities be reached through consensus of all the various stakeholders in the project (USAID, DPM&T, the HRID Working Group, the PCC and grantees).

1. Use of Data

An important axiom in monitoring and evaluation is that one should only collect those data which are actually used on a regular basis. In the case of HRID, the key decision factors will be: (a) importance of having the data for periodic reporting purposes (reporting to the HRID Working Group, use in USAID Semi Annual Reports); and (b) the extent to which the evaluation audiences (USAID, the HRID Working Group, and the PCC) intend to use the data as a basis for fine-tuning project implementation.

2. Monitoring as a Learning Activity for DPM&T

An important consideration in designing and carrying out HRID monitoring and evaluation will be the extent to which the various parties desire to use the experience as a learning/institution building opportunity for their benefit and for the benefit of strengthening DPM&T as the nation's coordinator of post-secondary training policies and resources. If it is decided subsequent to this evaluation that the objective of strengthening DPM&T is important to the success of the HRID Project, then using HRID monitoring and evaluation activities as a learning experience for select DPM&T staff will be very opportune. The Evaluation Team was told that acquiring evaluation skills is important to DPM&T's development and institutional strengthening. If there is common commitment to this goal, then special thought should be given in the design and implementation of a monitoring system to include DPM&T staff in data collection, analysis, and reporting activities to the maximum extent possible. The nature and extent of this incorporation will depend in large part on the time DPM&T

staff have available for involvement. However, if the task has the priority that is claimed, then DPM&T and the HRID Project will assure that appropriate staff are available.

3. Who will be Responsible for Implementing the Monitoring Plan

This is discussed in the section on Roles and Responsibilities. Basically, the key issue is that an assessment of capability and adequacy of staffing level needs to be made for this area, and responsibility needs to be decided.

4. Project Grantees' Involvement

How each project grantee will be involved in refining indicators to make them appropriate for their project activity, and what each grantee's role will be in collecting data and reporting it to the HRID Field Office and PCC is an important decision which needs immediate attention. It is consistent with the philosophy of this project that grantees should be involved in determining the nature of monitoring activities and how it will impact their grant. It may be useful to approach this matter in the context of a workshop on HRID Project Monitoring, to which grantees would be invited, with the expectation that they would have a major role in identifying how the monitoring plan would be applied to their specific activities. Monitoring follow-up might take place through annual HRID Project Conferences in which grantees would report on activity status, using EOPS, indicators and monitoring data as one of the topics of the conference.

5. Monitoring and Evaluation Costs

All monitoring and evaluation activities have costs. The amount of funding the interested parties would be willing to put into these activities should be a direct function of the need for and use of data gathered, and the amount of funding available.

The HRID Project Paper budgeted $123,000 for the evaluation of the project. This amount was later changed to $290,000. It is to cover the cost of two interim evaluations and a final "summative" evaluation. Since this first interim evaluation is costing $85,000, it is reasonable to assume that sufficient funding is available for external evaluations. However, effective monitoring and evaluation is an ongoing activity, requiring a steady flow of information to keep project activities on track. A frequent rule of thumb used within USAID and other development organizations is to set aside approximately three percent of the Life-of-Project amount for purposes of evaluation. If this principle were applied to HRID, the "appropriate" amount of funding for evaluation over the life of the project would be $540,000. This sum is hypothetical; most important is deciding what kind of information is needed, with what frequency and at

what cost.

The Evaluation Team recommends that further thought be given to budgeting monitoring and evaluation activities. Given the learning design of the project, it is likely that specific learning activities will need to be scheduled, such as the Monitoring Workshop and Annual Conferences suggested by the Evaluation Team. Their importance in institutional strengthening cannot be overlooked, yet that is what frequently happens. Below, mention is made of the possibility of involving local expertise, such as the Centre for Social Research, in certain monitoring and evaluation activities. This would have a cost. Similarly, the importance of DPM&T benefitting from increased involvement in evaluation in terms of institutionalizing new methodologies was discussed. At the same time, the severe staffing problem DPM&T faces in terms of its role in this project has been noted through the report. If something is to be done about this, it may be necessary to use uncommitted project resources to provide DPM&T with necessary staff, perhaps on a contractual basis, in order to assure that staff is available to participate in ongoing monitoring and evaluation activities.

In other words, the hypothetical sum of $540,000 would not seem to be out of order as a targeted amount if the development and implementation of an effective monitoring and evaluation plan is considered within the context of the learning design of this project. It is recommended that a review of funding for this activity be undertaken, and that consideration be given to utilization of uncommitted project funds for implementing an effective monitoring and evaluation plan.

B. Objectives, EOPS and Indicators

The system developed by the Evaluation Team focuses on project objectives and develops end-of-project status (EOPS) statements and indicators as the basis for collecting data to monitor progress. The Evaluation Team discussed the EOPS statements and indicators with members of the HRID Working Group, and, on the basis of that group's concurrence, used these statements to collect information about the present activities of the project.

Outlined below are the End-of-Project-Status statements and their respective Indicators for each of the Objectives of the HRID Project.

The use of objectives, EOPS statements and indicators starts with the idea that at the end of the project, evaluators should expect to find [EOPS statements], and would assess the degree to which this outcome was met by [the indicators]. For example, in the case of the first objective (strengthening post-secondary training institutions), three primary outcomes at the end of the project should reveal whether or not the objective has been met:

an increase in capacity of post-secondary training institutions; a stronger market orientation in these institutions; and an increase in their capacity to meet in-service training needs. Each of these outcomes, in turn, can be measured by certain indicators, and it is the tracking of these secondary level indicators that helps managers know whether or not their project activity is heading towards success, without having to wait for another interim evaluation or an end-of-project evaluation.

In the following sub-section the elements which form the basis of a tracking system to monitor progress are identified and discussed.

C. Elements of a Monitoring System

This sub-section focuses on the development of a proposed methodology for tracking progress toward accomplishment of these EOPS and indicators between now and the end of the HRID Project in 1995. The proposed EOPS indicators are susceptible to measurement at interim periods during the remaining years of the project. The nature of the data to be collected will vary for each project activity, as will the measurements to be used, the data sources and the timing of the data collection. The table that follows at the end of this sub-section lays out in a preliminary fashion, for each indicator under each EOPS, all of these elements. It will be up to the various stakeholders in the project (USAID, DPM&T, the HRID Working Group, and the PCC) to reach agreement on the following items:

a. Wording and Intent of Indicators (Column 1)

The HRID Evaluation Team spent a great deal of time discussing among itself what each indicator meant. Additional time was spent during the team's stay in Malawi meeting with various HRID stakeholders in order to obtain their input on both the content and wording of the indicators. In order for this process to be complete, it is important that all stakeholders (including the various audiences in USAID) take the time to sit down together to carefully go through each indicator in order to make sure there is common understanding around their wording and intent. If this is done at the beginning, and if there is full ownership of the indicators and their intent, future evaluation efforts will benefit and project monies will be well spent in carrying out the evaluation.

b. Appropriate Unit(s) of Measure (Column 2)

A quick scan of the second column in the Table in reveals a variety of proposed measures for the various indicators. A number of indicators are quantitative in nature and are relatively easy to access on an ongoing basis (e.g., number of people in training in HRID-supported programs, number of people

trained overseas/year, percent of female enrollments in programs). Others require periodic interviews and/or case studies (e.g. employer satisfaction with training of graduates of HRID-financed programs, trained participants return to jobs for which trained). Some require judgments on the part of qualified individuals who will carry out a general review of a training program. This review may involve a combination of examination of records, selected interviews, and observation of ongoing practices. In each case, agreement needs to be reached "up front" regarding the appropriate methodology for collecting desired data for each indicator.

c. Sources for Obtaining Desired Data (Column 3)

Data sources vary depending on the nature of the data required. In the case of most of the data sought for the indicators under Outcomes 1 and 3, the best source is the grantee's records as reported by the grantee through semi-annual reports. Critical for these indicators is making sure that grantees have appropriate records set up, that they are maintaining them, and that they are accurately transferring data from their records to the semi-annual reports. For all ongoing grants this process should be set in motion as soon as possible. In the case of new grantees, appropriate records and reporting systems should be built in at the time the grant is approved. In both instances it would be advisable to provide grantees with outside assistance, both to make sure that the system is installed and operational and that the appropriate methodology is being used.

For many of the remaining data sources the services of an "outside evaluator" may be required. This evaluator would be responsible for periodically conducting interviews and doing case studies. Given the nature of the data required and information obtained on existing capabilities in Malawi, it is anticipated that a local individual or firm could be contracted for this purpose. As data will be collected at different time intervals, it is recommended that the contract be for a long-term (preferably multi-year) period. Who the contractor will report to (USAID, AED, DPM&T, the HRID Working Group) and the nature of the supervision and guidance given to the contractor should be decided jointly by USAID and DPM&T with the concurrence of the PCC. One possible outside evaluator is the Centre for Social Research located in the University of Malawi.

d. Frequency of Data Collection Efforts (Column 4)

The frequency with which data are collected will depend on a variety of factors: the level of interest of the existing parties; the extent to which data collected will actually be used (either for reporting purposes or to make refinements in project design); and the level of funding the various parties are willing to put into the evaluation. The Table lists frequency in terms

of the ideal (e.g. it assumes an audience that is very interested in having data on an ongoing basis, both for purposes of tracking progress in achieving EOPS and for use in making refinements in project design). It is important to note in this context that some of the apparently more "expensive" data collection methodologies (e.g. interviews and case studies) can be tailored in size, scope, and cost and at the same time meet the needs of the various project audiences. For example, the number of interviews can be cut down as long as everybody understands that limited generalizations can be made from the interviews (in some cases a limited amount of interviews may be enough given the interests of the audience(s); similarly fewer individual cases can be included in a case study.

SAMPLE TRACKING HRID EOPS

Indicator	Measure	Source	Frequency of Data Collection
1. Post-Secondary Institutional Strengthening			
a. Decrease in overseas training in areas where HRID has supported capacity building	Time series: # people trained overseas/year	DPM&T (MIS if available)	Yearly, starting when training program begins
b. Increase in # of people receiving training in HRID-supported programs	# people in training # graduates	Grantee records reported via grantee reports	Semi-annual from point when program begins
c. Decrease in reliance on expats as instructors in areas supported by HRID	# expats instructors/total instructors	Grantee records reported via grantee reports	Semi-annual from point when program begins
d. Increase in trained Malawian instructors in HRID-supported programs	# instructors in training, # instructors teaching	Grantee records reported via grantee reports	Semi-annual from point when program begins
e. Local resources supporting HRID established training programs.	% training program budget covered by grantee & clients of program	Grantee records reported via grantee reports	Semi-annual from point when program begins
f. New HRID-supported programs meet quality standard of external reviewers	External reviews		
2. Greater Market Orientation, Post-Secondary Institution			
a. Employer satisfaction with HRID graduates	Employer interviews. Selected case studies	Outside evaluator	Six months after course graduation; yearly for 2 years thereafter
b. Increase in specialization in training programs	Review of proposals. Review of programs, once operational	Proposals	

c.	University of Malawi Tracer Study used to refine and develop programs	Interviews with select University faculty/department heads	Outside evaluation	ASAP; six months from now
d.	Increase career emphasis within academic program	Case studies of selected program	Outside evaluator	ASAP
e.	Outreach function institutionalized	Interviews with key staff in training institutions, employers, students	Outside evaluator	Mid-term in training program. At end of training program. One & two years after USAID support ends
3.	<u>In-Service Training Institutional Strengthening</u>			
a.	Decrease in overseas training in areas where HRID has supported capacity building	Time series: # people trained overseas.year	DPM&T (MIS available)	Yearly, at initiation of training program
b.	Increase in # of people receiving training in HRID-supported programs	# people in training. # graduates	Grantee records reported via grantee reports	Semi-annually from initiation of training program
c.	Decrease in reliance on expats as instructors	# expats as instructors/total instructors	Grantee records reported via grantee reports	Semi-annually from initiation of training program
d.	Increase in trained Malawian instructors in HRID-supported programs	# instructors in training # instructors teaching	Grantee records reported via grantee reports	Semi-annually from initiation of training program
e.	Increase in new programs not offered in Malawi	# programs		
f.	Local resources supporting HRID established training program	% training program budget covered by grantee and clients of programs	Grantee records reported via grantee reports	Semi-annually from initiation of training program
g.	Employer satisfaction with HRID graduates	Employer interviews. Select case studies	Outside evaluator	Two months after course completion
h.	Training programs supported by HRID are of acceptable quality		Outside evaluator	

4.	Increase Capacity to Plan for HRD			
	a. Requests for USAID/other donor assistance based on organizational assessments	Contents of proposals	USAID/AED	As new grants are reviewed and approved
	b. Training plans that explain institutional contributions expected of trainees and that clearly state expected outcomes	Contents of proposal USAID/AED	As new grants are reviewed and approved	
	c. Trained participants return to jobs for which trained and achieve organizational requirements before job transfer	Interviews with returned participants and their employers. Select case studies	Outside evaluator	As participants return from U.S.
	d. Selected government organizations have capacity to assess training and TA needs and manage training functions	Assessment (review of records; select interviews; observation)	Outside evaluator	At appropriate point after intervention begins; repeat at least one
5.	Increased Efficiency and Effectiveness Among Participating GOM Organizations			
	a. Participating organizations regularly produce evidence/documentation of improved management performance	Assessment (review of records; select interviews)	Outside evaluator	
	b. Internal capacity exists in organization to assess performance on on-going basis	Assessment (review of records; select interviews)	Outside evaluator	
6.	More Women in Non-Traditional Occupations			
	a. Women trained under HRID employed in suitable occupations related to training	Interviews with female graduates of training programs. Select case studies	Outside evaluator	Six months after course graduation; Yearly for 2 years thereafter
	b. Training institutions continue to attract women into non-traditional fields without donor assistance	Time series data on enrollment of women in HRID-supported programs	Grantee records reported via grantee reports	Semi-annually from initiation of training program

	c. Increase in awareness of importance of role of women in development in Malawi			
7.	Institutional and Organizational Support for HRD Planning Institutionalized in DPM&T			
	a. GOM annual training plan process based on organization performance improvement	Assessment (reviews of records; select interviews)	Outside evaluator	Once a year once assistance begins
	b. DPM&T staff serve in consultative roles and assist other GOM agencies to produce quality HRD plan related to organization performance	Assessment (review of records; select interviews)	Outside evaluator	Once a year once assistance begins
	c. Operational and effective MIS that can track personnel and training data	Assessment (review of records; select interviews; observation)	Outside evaluator	Once a year once assistance begins
8.	USAID Funding Based on Collaborative Decision-Making			
	a. Funding decision system institutionalized and relies on Malawian participation. System based on clear criteria; decision process is public and open to scrutiny	Assessment (review of records; select interviews; observation)	Outside evaluator	Once a year during life of project

VI. PROGRESS TOWARDS ACHIEVEMENT OF OBJECTIVES

A. Funding and Project Objectives

Table 2 summarizes allocations to date, based on the original six objectives of the project. This information is useful in reviewing how priorities are evolving, inasmuch as indicative funding levels for these objectives were not set at the start of the project. However, care must be exercised in making judgments about project progress using these data. The basis of the data is project proposal approvals, not actual utilization of funds. The categorization of the proposals is shown in Appendix 4. For example, Objective 2, increasing capacity of trained personnel in critical development Ministries, has had approximately seventeen percent of the funding to date allocated to it, most through a small number of relatively large grants, yet little activity beyond planning has actually taken place. Similarly, the only activities in Objective 3 are the proposed MBA program and BA in Public Administration in the University of Malawi, neither of which may be initiated. In contrast, many of the activities in Objectives 1 and 4 are well underway. It is also worth noting that most of the project activities shown under Objective 5, advancement of women, are being accomplished through University of Malawi entities and could also be included in Objective 1, which would change the percentage of funding for this objective significantly.

TABLE 2

Summary of HRID Allocations (as of 3/31/90)

by Original Project Objectives

OBJECTIVES	AMOUNT	% of TOTAL to DATE	% of PROJ TOT
1. Institutional Training Capacity	$2,895,342	22.5	16.1
2. Increase Capacity of Trained Employees in Critical Development Ministries	$2,224,756	17.3	12.4
3. Increase Malawian Managers	$ 596,000	4.6	3.3
4. Institutional Infrastructure for Small and Medium Enterprise Development	$1,092,761	8.5	6.1
5. Increase Number of Women in Professional, Technical and Managerial Fields	$1,466,560	11.4	8.2
6. Develop Personnel Mgmt Capacity of DPM&T and Other Critical Agencies	$ 919,073	7.1	5.1
SUBTOTAL	$9,194,492	71.4	51.1
Project Support for PT and TA to Plan and Evaluate Proposals, Ministries	$ 470,971	3.7	2.6
Administration (Core Contract Project Evaluations, PSC Salary for Two Years)	$3,222,149	24.9	17.9
SUBTOTAL	$12,887,612	100.0	71.6
Uncommitted	5,112,388		28.4
TOTAL	$18,000,000		100.0

B. Assessment of Project Activities

In this section the activities are clustered according to the five current objectives of the project. In carrying out this assessment the Evaluation Team considered progress towards achieving end-of-project outcomes on the basis of interviews and site visits to project activities, review of the funded proposals, and other documentation. The complete description of this assessment is shown in Appendix 8.

1. Objective 1

Strengthening the existing post-secondary training institutions;

EOPS 1.1: An increase in the capacity of post-secondary training institutions to meet some of the country's essential training requirements.

EOPS 1.2: A greater market orientation among post-secondary training institutions.

EOPS 1.3: An increase in the capacity of organizations to meet in-service training needs.

a. Findings

The ProAg identified the following as targeted fields of study and training in which existing post-secondary training institutions might strengthen and increase their training capacities: economics, agricultural education, engineering, accountancy, commerce/business, educational administration, nursing and public administration.

The interim evaluation has confirmed that the HRID Project is fully committed to the expansion of the capacity of training institutions. From the outset, post-secondary training institutions constituted a group with the largest number and best formulated proposals. Activities are at various stages of implementation at the four colleges of the University of Malawi. For example, the programs currently in progress at Chancellor College in Economics and Sociology of Women in Development have new curricula being developed, diverse audiences are being reached and selected faculty are acquiring post-graduate degrees overseas.

Capacity building within the University has been directed primarily towards academic degree programs serving pre- and in-service audiences. While there is need in these areas, these activities do not adequately reflect awareness and response to current in-service training needs best met through non-degree programs, as called for in the Project Paper and ProAg, and

established through numerous pre-project studies referred to earlier.

Nevertheless, it was recognized by the Evaluation Team that concerted efforts are being made to ensure that all degree-based training activities are market-oriented. The heightened awareness of the importance of institutional responsiveness to changes in client demands is impressive. There are strong indications that post-secondary education in the targeted areas reflects the need to adapt curricula to employer requirements by soliciting input into the development of curricula and programs by end users, and by imparting more specialized knowledge and skills. Changes in attitude on the part of faculty and administrators towards developing long-term relationships with end users is the strongest evidence to date of the project contributing to important, sustainable changes.

By the end of the project, these and other related project actions will address critical gaps in the nation's training portfolio and contribute to development by reducing the reliance on expatriates to instruct in the targeted areas and lowering demand for training abroad. Hence, a savings in foreign exchange may be realized and training expertise institutionalized. The benefits will be expanded further when approved programs will come on line at Bunda College, Kamuzu College of Nursing and the College of Accountancy.

Outside of the University, support to strengthen capacity for in-service training has been limited. During the early stages of the project these activities were concentrated in private sector organizations such as Development of Malawian Traders Trust (DEMATT) and Malawi Union of Savings and Credit Cooperatives (MUSCCO). Because of the revision of project objectives last calendar year, and the impending funding of READI II, support to private sector training institutions will not be continued beyond present commitments. Support has been given to the College of Accountancy, and this is addressing a serious shortage of accountants in Malawi.

Other non-university based training organizations, such as Malawi Institute of Management and GOM Staff Training College, have received little consideration to date, although this situation may be changing. The lack of consideration has been due, in part, to assumptions by key actors about need, quality and capacity of such organizations.

b. Conclusions and Recommendations

There appears to be strong consensus among all key parties of the HRID Project that the prominent support being given to the strengthening of post-secondary training institutions is appropriate and should be continued. The University of Malawi is

the main recipient of HRID funds for this objective, and its institutional training capabilities will determine to a large extent whether or not national human resource requirements can be met.

The activities that have been initiated are off to an auspicious start. Some of the programs underway meet established project objectives and are already displaying signs of enhancing national educational standards. It is hoped that the momentum attained will be institutionalized and sustained.

Some specific matters that should be addressed as HRID moves into full program implementation include, but are not limited to the following:

- A primary task ahead for all training institutions is the development of mechanisms to institutionalize outreach functions, to facilitate the solicitation and assimilation of market information in curricula and training, and to monitor and evaluate activities.

- Support for in-service training institutions outside the University needs to be developed, within the context of assistance in management development to critical development agencies.

- Capacity building for in-service training, as contrasted with pre- and in-service education needs much more attention in order to meet current training needs.

- The recruitment of a technical advisor for the Masters of Economics program at Chancellor College needs to be expedited.

- The Sociology of Women in Development program needs to develop an action plan that assures sustainability and incorporates course offerings in a departmental strategic plan.

- The Faculty of Agriculture, Bunda College, needs to develop a work plan and detailed scopes of work for the proposed technical advisor that contain discrete institution building elements.

2. Objective 2

   Increase public sector planning, financial management and management systems capacities in critical development Ministries

EOPS 2.1: An increase in the capacity of participating institutions and organizations in all sectors to plan for human resource development and to use participant training and in-country training to achieve institutional outcomes.

EOPS 2.2: An increased efficiency and effectiveness among participating GOM agencies whose projects have aimed to strengthen management capacity or other aspects of organization performance.

a. Findings

The HRID Project aims to improve critical development Ministries by strengthening their capabilities to manage resources, particularly human resources. As may be recalled from earlier discussions regarding the focus and design of the project, institutional strengthening has two interrelated dimensions: improving human resources through training activities, and relating training activities to other activities intended to strengthen management development and improve the performance of organizations, in terms of efficiency and effectiveness. Strategies to link HRD to management development of organizations involved the use of training, technical assistance and commodities to improve organizational performance. Utilization of these resources is discussed in another sub-section which follows.

Organizations targeted for strengthening in the HRID Project are the Department of Personnel Management and Training, Ministries of Health, Local Government, and Works. However, due to the openness of the proposal process, many other organizations have received funding for human resource development activities. These include:

Government Agencies

Ministry of Forestry
Ministry of Works and Supplies
Ministry of Justice
Ministry of Trade, Industry and Tourism
Office of the President and Cabinet
Department of Personnel Management and Training
The Public Service Commission

The University of Malawi

Chancellor College
Centre for Social Research
Bunda College
Polytechnic

Kamuzu College of Nursing

Service Agencies (private sector)

Electricity Supply Commission of Malawi
Development of Malawi Traders Trust (DEMATT)
Malawi Union of Savings and Credit Cooperatives (MUSCCO)
Private Hospital Association of Malawi (PHAM, Mlambe Hospital)

Statutory Bodies

Malawi Bureau of Standards
Malawi Broadcasting Corporation
Malawi Export Promotion Council

The breadth of participation indicated above reveals the problem of project focus, which resulted in the PCC acting to narrow the project objectives and the range of activities and organizations to be supported by the project. An original purpose of HRID was "to improve the efficiency and overall effectiveness of professional, technical, managerial and administrative human resources employed in the public and private sectors." The narrowing of the project's focus resulted in a revised objective that calls for "an increase in public sector planning, financial management and management systems' capacities in critical development Ministries." Also, reference to critical development Ministries was eliminated from the objective concerned with developing capacity to plan and manage human resources, leaving this objective exclusively concerned with DPM&T.

However, the narrowing of the project's focus came after proposals from organizations listed above were approved. Analysis of the HRD plans in many of the proposals shows weak linkages between HRD and management development of the organization, despite the fact that considerable emphasis is put on this in the proposal criteria (70/200 points). The Evaluation Team found through proposal reviews and interviews that the traditional approach to human resource development in Malawian organizations (preparing a list of names of individuals eligible for advanced training and distributing this list to donors) is still strong, despite recent widespread bilateral donor efforts to base training and technical assistance support on evidence of organizational needs.

Interviews also indicated that a main reason for the project's difficulty in receiving high quality proposals for management development in specific organizations is that this technology is relatively new to Malawi, and necessary skills do not exist to carry out organizational analyses and develop plans based upon them. Lack of successful models of management development make

it difficult for leaders of organizations to commit resources for long periods of time to develop capabilities which they may not be around to benefit from, given the practice of frequent staff rotation.

b. Conclusions and Recommendations

A substantial amount of project funding will be under-utilized if steps are not taken to strengthen the linkages between human resource development and management development activities. Many project activities have been approved which may lead to some individuals in the grantee organization receiving training, without the organization benefitting from the training. Linkages can be strengthened by working with host organizations to develop specific, implementable plans to utilize the knowledge and skills acquired by an individual through project supported training to the benefit of the organization.

Where this appears unlikely, the Evaluation Team recommends that funds be "decommitted" unless and until proposals are developed which reflect the intent of the project, and the intent and will of the proposing organization to meet this specific objective more effectively. Current project commitments which fall into this group include long-term participant training for parastatals and OPC for which training has not yet commenced.

More emphasis is needed on in-service training which will result in practical, immediately usable skill development in areas of planning, financial management and management systems. Effective training of this kind needs to be developed on the basis of specific needs in specific organizations. As a consequence, the plans for each organization should have specific objectives and establish performance measures which fit the organization. It is too early in the implementation process to assess management performance improvements in those organizations which made proposals of this nature, such as the training of personnel and installation of data processing and management information systems in DPM&T and the Ministry of Works. Both systems have been based on thorough needs assessments by external consultants.

Another funded management development activity is a training project for the Ministry of Local Government which has made provision for a long-term technical advisor. Efforts are just getting underway to contract a long-term technical assistance expert to help design the training delivery component.

In a larger sense there is good and bad news concerning human resource development and management development in Malawi. The good news is that within the donor community there is emerging a common approach to linking human resource development and management development activities aimed at strengthening the

performance of organizations, through the development of training needs based on organizational assessments. The bad news is that the prevailing personnel policies and practices, such as poor salaries and incentives, and frequent, unsystematic rotation of Common Services Pool Officers undercut the effectiveness of efforts such as the HRID Project.

Specific steps recommended by the Evaluation Team to improve project performance related to this goal include:

- Workshops or other follow-up activities with organizations having weak HRD plans to increase likelihood that individuals currently on long-term training will be utilized appropriately when they return;

- More assistance from the Field Office in helping targeted organizations develop appropriate work plans utilizing project resources to improve management development strategies; and

- Careful consideration by project staff and grantees of the EOPS and indicators developed by the Evaluation Team for this objective in Appendix 8. This objective is being pursued through activities that are least understood, or which have a different history of implementation in Malawi than what is intended by this project, and unless concrete steps are taken to develop early indicators of progress, as suggested in the Appendix, activities in this area will have little sustainable impact.

3. Objective 3

Increase the number of women in professional, technical and managerial fields

EOPS 3: More women in non-traditional occupations such as engineering, the sciences, business and finance, management, and law.

a. Findings

Concern for increasing the opportunities for women to contribute to Malawi's development has been a key feature of the HRID Project since its inception. When the PCC acted to narrow the focus of the project and reduce the number of objectives, the concern for women retained its priority. The need for an objective to foster the advancement of women is apparent. The percentages of women in targeted positions in all sectors are markedly low. For example, only three percent of the country's economists and six percent of government executives are women.

Even in traditional fields such as education, home economics, nursing and agriculture, where percentages are considerably higher, problems of retention and access to training exist.

Under-education of women generally is part of the problem of increasing employment opportunities for women in professional, technical and managerial fields. It is estimated that less than one-third of the enrolled students at the primary and secondary levels are females. The social dynamics which maintain this situation need considerable research before effective action planning can proceed much further. The HRID Project is providing a vehicle for initiating such research, while also taking direct steps to increase employment for women.

The HRID activities related to achieving advancement of women include:

- Sociology of Women in Development, Chancellor College
- Center for Social Research, Chancellor College
- National Commission for Women in Development
- Scholarships for Study in Nontraditional Fields.
- Women's Registrar, University of Malawi
- Nursing Midwifery, Kamuzu School of Nursing
- Community Health Nursing, Mlambe Hospital, member of PHAM

Several of these activities support other project objectives, but are also included here because it is assumed that the ultimate beneficiaries of the activity will be Malawian women. For example, funding of the Women's Registrar position is an activity which strengthens the institutional capacity of the University of Malawi, but does so in service of the goal of increasing access for women to the University, hence it supports several project objectives. In contrast, participant training support activities are not listed here even though fifty percent of the individuals selected for participant training support thus far have been women. This is because the organizational strengthening which their training is linked with may not be related to the objective regarding increasing women's participation.

The activities cited above are in various stages of implementation. The one activity well underway is the women's scholarship program. At the present time 62 women are participating; the end of project target is 60. This goal has already been achieved and surpassed. Activities that fall in the category of institutional strengthening include the Women's Registrar, and Sociology of Women in Development degree program. These activities are elements of larger plans that incorporate technical assistance and advanced degree training of Malawian women overseas. In the public sector, a major activity is commencing at the National Commission for Women. The plan is comprehensive in nature and makes provision for training, technical assistance, organizational development, outreach

functions, and the establishment of a documentation center.

b. Conclusions and Recommendations

The HRID Project is having its greatest success to date in the progress being made towards the objective on the advancement of women. Among the reasons that may contribute to this success are strong and creative responses from the University of Malawi, dedication and skill of the OPEXer, and good timing. The proposals which have been supported appear to demonstrate a higher level of comprehension of the linkage between human resource development and institutional strengthening or management development than in other areas.

Based on current success, and the evident needs related to this objective, the general recommendation is simply to continue doing more of what has already proven to be working effectively. Specific recommendations include:

- Seek ways to increase scholarship funds available for women in non-traditional fields of study. The Project Field Coordinator has suggestions about ways to do this, and to shift scholarship funds to local currency, which merit consideration by the PCC.

- Assure that women in long-term study programs in the United States are in contact with their home units in Chancellor College in order to keep abreast of and have input into curriculum development and research planning. If not already planned, their thesis research should be carried out in Malawi, under the supervision of Dr. Jean Davison, in order to maximize follow-up to her development work and integrate the returning staff into WID activities.

- Assure that project funding is available to help the National Commission for Women in Development implement the strategic plans it develops. The HRID Working Group, with the support of the PCC, may need to take action quickly to assure such a set aside, given the limited amount of project funds. The present funding commits support to develop a strategic plan, but does not anticipate funds needed to implement it.

- Step up efforts to coordinate project supported WID activities more proactively. Consideration should be given to appointing a WID representative to the PCC, perhaps as a replacement for representatives from the private sector and parastatals, since project activities in these areas were curtailed when the PCC narrowed project objectives and activities in June, 1989.

4. Objective 4

Develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively

EOPS 4.1: Institutional and organizational support for HRD planning and consultation (currently provided by HRID/AED) is institutionalized in the DPM&T.

EOPS 4.2: Within project guidelines, decisions regarding USAID funding of local projects are made by Malawians through a collaborative and participative process.

a. Findings

DPM&T plays a central role in human resources development in Malawi. The Department is responsible for manpower planning, for assessing training and development needs and coordinating donor assistance for training, for personnel assignments, for management services to government agencies, and for the management of all data relevant to the utilization of human resources in the Government of Malawi.

Since project inception, DPM&T has been targeted as a key player in HRID, both as a partner in project implementation and as a beneficiary of project resources. The Project Paper envisaged developing the capacity of DPM&T and development Ministries to plan, manage and utilize personnel efficiently and effectively. It was expected that the project would provide training and technical assistance to DPM&T to create capacity for performing all human resources development responsibilities and taking the lead in implementing national training policy.

When the project narrowed its focus DPM&T's role was reconfirmed, although responsibility for project implementation shifted to the Field Office. At present, the role of DPM&T as a partner in HRID is unclear. Inasmuch as DPM&T represents the GOM in this partnership, the Evaluation Team sees this situation as needing immediate attention.

As a beneficiary of the project, DPM&T is targeted to improve its HRD management capability. This is to be through improvement of its human resource management information system and other actions. Implementation of the MIS activity has begun: staff members have received training and are awaiting the procurement of hardware and software.

However, other steps to strengthen DPM&T's capability have not

been carefully planned, despite short-term technical assistance for this purpose. The primary reason seems to be lack of staff who have the time to focus on developing DPM&T's role as a beneficiary of HRID Project resources. For example, it is recognized that the development of the annual training plans by government agencies, in consultation with DPM&T, is the logical place for DPM&T to strengthen its role in planning HRD in Malawi, and to link human resource development to management development and institutional strengthening. Presently, however, no clear plan has been devised as to how the process might be improved through deliberate activities and measurable objectives supported by HRID. For this reason the Evaluation Team spent considerable time developing indicators which could assist DPM&T in focusing its involvement with the HRID Project (see Appendix 8 for details).

b. Conclusions and Recommendations

There is no evidence that the roles of DPM&T staff concerning the Department's human resource development function have been affected by the HRID Project. Training provided to staff has not been followed up within DPM&T, except in the areas of MIS and that is, in effect, on hold until commodities have been procured.

DPM&T is in a position to serve as a model for institutionalizing human resource development and management development, through HRID assistance. At the moment, however, it is not capable of taking advantage of its position, due to lack of staff resources.

It is most urgent that USAID, the Field Office and key staff within DPM&T meet to determine the future role of DPM&T in the HRID Project, as a managing partner and as a client organization. When decisions are made resources and responsibilities must be aligned with the intended outcome.

Further it should be noted that DPM&T is a recipient of assistance from other donors and that significant resources may be devoted to tasks that are compatible with or duplicate the plan for DPM&T under HRID. Any new strategies for DPM&T in HRID should be responsive to and take advantage of all available resources.

5. Objective 5

Provide interim institutional support for small and medium enterprises and organizations serving the private sector

[Since this objective no longer has priority in the HRID Project, except as a funding support "bridge" until READI II is in place, EOPS statements and indicators were not developed.]

a. Findings

Support for organizations serving private sector needs concerning human resource development and institutional strengthening was originally seen as a primary purpose of this project. As other funding mechanisms came into reality (e.g., READI II) this area was given a lower priority when the PCC changed the focus of the project. The irony of the situation is that some of the most effective project activity has been initiated in support of the original objective in this area. This is described in more detail in the following section which assesses project activities in terms of proposal criteria.

Activities receiving HRID support include training of trainers in DEMATT and MUSCCO, and assistance to the Associated Chambers of Commerce and Industry to raise the professional standards of its office staff and resources.

b. Conclusions and Recommendations

Since this area has been de-emphasized there is a natural tendency to overlook it in any ongoing project activities, including an interim evaluation and the development of future project efforts, such as a monitoring and evaluation system. That oversight would be a serious mistake since there is much to be learned from the fast successes in the project activities in this area which may have relevance to other areas of human resource development and institutional strengthening in Malawi.

VII. ACTIVITY ASSESSMENT BASED ON FUNDING CRITERIA

Thirty-seven activities have been approved by the PCC for HRID Project funding support. This assessment includes a review of 36 of those activities, omitting the Ministry of Health activity for which no proposal has been developed. These activities were assessed on the basis of the criteria used when organizations sought funding, plus a criterion on sustainability, which the Evaluation Team was asked to include, and other information gathered from interviews and other sources.

In the first sub-section which follows, a summary of the activities is offered with respect to each criterion. In the second sub-section, project activities are grouped according to the extent to which they appear to be in conformity with the philosophy of the HRID Project and are likely to be successful.

A. Summary of Activities by Proposal Criteria

1. Organization Need and Objectives

Eighteen activities offer evidence that they were designed on the basis of an assessment of organizational need (51%). Thirty-three activities are responsive to the HRID objectives (94%). Those that do not appear to be related to HRID objectives are OPC communications and MBC journalism.

2. Target Audience

HRID gives preference to activities that are directed to in-service training. The majority of the training activities are targeted to a mix of pre-service and in-service audiences. The two projects that are strictly pre-service are the women's scholarships and the conversion program. A number of the university activities are largely, although not exclusively, reaching a pre-service audience.

3. Subject

Seventeen of the activities address high priority subjects, referred to as Category A in the design document (45%). Fifteen of the activities are second priority, Category B (41%). Four activities are not among the original project priorities (ESCOM, MBC, OPC-communications, and OPC-rural development).

4. Venue

Sixteen of the project activities favored in-country training (46%). Eighteen favored training in the U.S. (51%) and one favored third country training.

5. Personnel

Five activities appear to plan for the use of Malawian trainers or technical assistants in some portion of the program (14%). The remainder of the activities rely substantially on expatriates; in four of the five activities where there is an American expatriate in place, there is a viable counterpart relationship underway.

6. Length

Eighteen of the activities make use of conventional long-term degree training (51%). Both the Conversion and Sandwich programs (University of Malawi) offer interesting alternatives to the standard degree programs. A variety of short courses are incorporated in the remaining activities.

7. Curriculum

Eight of the activities have incorporated plans to develop curriculum that are particularly relevant to the Malawian context (23%). The balance of the activities that are largely participant training appear to have no curriculum development purpose.

8. OPEX or Training Support

Eleven of the activities show evidence that the grantee is offering sufficient support to trainees and advisors (31%). Other activities are difficult to assess in this regard or do not include plans for organizational support to trainees and advisors.

9. Pre-Training/TA Preparation

Fifteen activities indicate that orientation, planning and group goal-setting preceded the initiation of training or technical assistance (42%). This item is not applicable to several activities and is not evident in the remaining balance of activities.

10. Post-Training/TA Follow-Up

Seventeen activities include plans for follow-up to the training or technical assistance (49%).

11. Linkages

Twelve activities have built in linkages with other organizations and resources in Malawi or in the region (34%).

12. Cost

Most budgets are brief and are difficult to assess. Several appear to be high or largely equipment or commodities. The majority of the budgets appear within reason based on the information available.

13. Sustainability

Sustainability is an abiding concern, especially in Malawi where the economy is extremely fragile and long-term commitments are difficult to make. Nonetheless, nine activities have given this criterion some attention (26%); and most activities will require close monitoring in this regard. Immediate attention should be given to the solicitation of data from grantees that delineate their plans for supporting activities with local resources after HRID.

B. Activities Grouped by Conformity to Project Philosophy and Proposal Criteria

1. Exemplary Project Activities

Seven activities are off to a very good start. As a group they show great promise and provide early evidence that they possess the essential elements of successful activities. Of these, the four that meet nearly all of the proposal criteria are: Chancellor College/Sociology of Women in Development; MUSCCO/SME Management Training; MUSCCO/ESAMI Training; and DEMATT/Group TOT Training. In addition to meeting nearly all of the proposal criteria these four also have other characteristics worth noting:

(a) Advance Planning

Planning for these activities was comprehensive and based on organizational need. Planning exercises involved a wide range of interested parties and produced an action plan that is forward-looking. In each of the instances cited here, DEMATT, MUSCCO and Chancellor College, Faculty of Sociology, planning processes were already in place and HRID provided an opportunity to enhance that process. Each of the grantees is interesting and different in terms of their planning process.

Chancellor College, as part of the University system, uses the customary committee structure to engage in planning and program development. HRID required nothing new of the system, but was able to take advantage of structures already in place to bring Women in Development to the attention of the faculty. Initial planning, however, was extended through the efforts of expatriate technical assistance; a nation-wide workshop, attended by about 70 people, brought all key players together to address national and institutional needs, to advise on curriculum and to suggest

roles that the University might play in the future. With follow-up, this forum could continue to impact on the faculty's program and on Women in Development in general.

At MUSCCO planning is institutionalized; a five-year plan includes a careful assessment of requirements for human resource development. Planning for human resources development is done at the organizational and individual levels so that employees can understand their own potentials for growth within the organization. HRID fit nicely into an existing structure.

A third illustration is provided by DEMATT. Stresses and strains in the organization have lead to a comprehensive reassessment of mission, structure, programs and priorities. HRID became available as a resource to DEMATT during this time of reflection and led to a plan for the development of the organization using, in part, HRID support. The planning exercise should make an important contribution to the future of DEMATT, although the next year is critical in terms of choices regarding leadership and program sustainability.

While these planning activities were not compelled by or through HRID, they are models on which other organizations might build. Further, they provide illustrations of the kinds of activities that HRID might encourage in other agencies.

(b) Short-Term Intensive Training

Each of these projects makes use of short-term intensive training tailored specifically to the needs of the organization. DEMATT and MUSCCO have been instrumental in the development of their own training and have been able to ensure that the training is relevant. The Women in Development program is making effective use of workshops and seminars to build the program and to obtain commitment to it.

While short-term training is not necessarily better training than a degree course, it is better suited to institutional development, is more likely to build job-related skills and is designed to ensure on-the-job application of the learning. Furthermore, in the context of HRID purposes, short-term training is probably more cost-effective than overseas degree training.

(c) Malawian Participation

A key element in organization improvement efforts is meaningful participation by persons who will have long-term responsibility for implementation, management and institutionalization. The projects cited as exemplary have allowed for this sort of participation and have done so in different ways.

At MUSCCO Malawians are involved throughout the process of

project implementation. In MUSCCO's program with the College of Accountancy, MUSCCO staff members participate in planning, program design and delivery; and one of their two staff training programs took place entirely in Malawi where a variety of organizations and institutions interested in management training could participate.

Similarly, DEMATT has directly involved its personnel in activity design and implementation of the training-of-trainers program. Expatriate assistance was used at the outset, but DEMATT's staff soon took the lead and delivered components of the training. Linkages with other organizations in Malawi do not appear to be as good as they are in the MUSCCO program, but the potential for linkages could be pursued.

The Women in Development effort at Chancellor College is being implemented through the initiation of the expatriate advisor. Her style is to involve other faculty throughout the college and to correspond with her counterpart who is in the United States. She has worked well with female graduate students and has plans for continuing national involvement and linkages with other women's programs within and outside HRID. Since this activity is one that has been initiated from the outside (through the University, USAID and HRID), the importance of insisting on substantial local involvement is critical to the sustainability of this effort.

(d) Critical Mass

Each of the activities cited as outstanding has involved a critical mass of people in the organization in the project. Organization leaders have rejected the notion of sending a single individual away to training or bringing in a single advisor to do a job. Rather, they have viewed a group or the whole organization as the target of intervention and have insured that a critical mass of key players are involved.

Each of the programs at DEMATT and MUSCCO have targeted groups for training and technical assistance. Participation will be wide-spread in the organizations and the learnings will be well reinforced through on-the-job follow-up and internal support from other employees. The Women in Development effort can attain this kind of critical mass if the multidisciplinary focus of the program continues to include a variety of faculty members and administrators and if those individuals begin to see payoff in the program. The activities in the undergraduate scholarship program, in the Office of the Women's Registrar, and at the National Commission for Women offer a natural potential for the critical mass to be achieved.

(e) Materials Development

At least three of the four exemplary activities will result in the production of curriculum and materials relevant to the Malawi context. The materials will be produced with Malawian participation and will be based, in part at least, on direct interaction with employers who are using the skills of the trained personnel.

(f) Cost and Sustainability

Each of these activities has been designed on a scale that matches the capacity of the organization to use the resources wisely and effectively. They are largely sustainable because they are creating no new positions, they have protected themselves against loss due to turnover by involving a larger number of people, they are high priority needs in the organization and, in the cases of MUSCCO and DEMATT, are directly linked to the organization's productive capacity. Most vulnerable in this regard is the Women in Development program which needs to continue to address the issue of sustainability.

(g) Final Note

The projects cited as exemplary are chosen in part because they are sufficiently well along to assess the potential for success. Other activities do show similar promise and should be expected to do every bit as well as those mentioned here. Furthermore, it should be noted that both DEMATT and MUSCCO are receiving large amounts of technical assistance from the U.S. and have a capacity to engage in a proposal writing and project planning exercise that many organizations do not have. The real test for HRID is to take model efforts and introduce their methods into organizations that have a more constrained base on which to build.

Allowing for the inclusion of Category B activities and those relying heavily on overseas training, the three other activities in this category of exemplary activities are: Chancellor College/Economics (Transport); DEMATT/Agro-Industry; and DEMATT/Training.

2. Promising Activities

The following group of activities meet fewer criteria but still show promise of making contributions to human resource development: Ministry of Local Government; DPM&T/MIS; ESCOM/Switchgear; KCN/Nursing; DEMATT/Medium Scale Enterprise Promotion; Chancellor College/Master of Education; Chancellor College/Research on Women in Development; College of Accountancy/Conversion Course; HRID/Participant Training Support Activities; and National Commission for Women in Development. They vary in the extent to which they meet fewer criteria, so it is difficult to generalize as to what could be done to improve

their chances of success. Each would benefit from individual attention and guidance from HRID Field Office staff to strengthen their activities.

3. High Risk-High Gain Activities

Five activities may require significant support and attention if they are to achieve their proposed linkage between human resource development and management development. The guidance needed by these activities may be greater than activities in other groups, but the potential benefit to the nation may also be substantially greater if these activities achieve sustainable success. Activities in this group are: DPM&T/Management Services; DPM&T/Personnel; DPM&T/Management Development; Bunda College; and University of Malawi/Women's Registrar Program.

4. High Risk Activities

The remaining group of activities are quite divergent in the characteristics which put them in this group. Generally, they share common deficiencies of the set of special factors which set the exemplary activities apart from the rest (advance planning, short-term in-service training, participation, critical mass, materials development, cost/sustainability). Some appear to have been approved outside the established decision-making system of the HRID Project, and are found lacking in organizational input and major project components. An example in this category is the project activity of the Associated Chambers of Commerce and Industry in Malawi (ACCIM).

Provision has been made for training personnel under HRID as a vehicle for strengthening organizational capacity. This type of activity sometimes serves as a component in a more comprehensive institutional building program, but for the following nine organizations the training of one or more employees (participants) is the only funded activity. Because of the narrowing of project focus, it is highly unlikely that any of these organizations will be eligible for further support: Malawi Export Promotion Council; Malawi Broadcasting Corporation; Malawi Bureau of Standards; Ministry of Trade Industry and Tourism; Office of the President and Cabinet/Communications; Office of the President and Cabinet/Rural Development; Ministry of Justice; Ministry of Forestry and Natural Resources; and Public Service Commission.

The PCC has decided, appropriately, that no additional funds will be provided for activities with long-term development implications when grantees readily acknowledge an inability to sustain targeted programs with local resources. Interim evaluators concur. The one activity that falls in this category thus far is UCE, although there is growing concern about the viability of the Public Administration Program of Chancellor

College for the same reason.

Lastly, the MBA program is in this group primarily because of the high cost it would require to become operational and sustainable, with a degree of quality that would offset the usual enticements of study abroad. The Evaluation Team was asked to take special note of this activity because of the controversy surrounding it, and spent considerably more time on this activity than others. There is no doubt that there is considerable demand for an MBA degree program, and considerable justification on the grounds of saving foreign capital spent to earn the degree abroad. However, there is less certainty about the need for the degree program, relative to the other needs for improving management practices in Malawian organizations which could be met in more cost-effective ways. In other words, there is an opportunity cost issue that needs further analysis. Related to this is an issue about the total real costs likely to be needed to make a high quality MBA program operational and sustainable. To date no one has presented a viable business plan for this endeavor.

However, there is close at hand, in the case of the Malawi Institute of Management (MIM), another model of starting an organization likely to be serving a similar market, albeit for different outcomes. Nevertheless, the costs of starting MIM have been substantial, and the issue of sustainability is still very real. Furthermore, the benefactors of MIM and an MBA program are likely to be much the same; the business community of Malawi and a group of bilateral and multi-lateral donors. A very real question to put to this collection of benefactors is whether it can and should support both efforts. A solid and convincing answer would be an established endowment covering a majority of the projected operating costs of an MBA program.

In sum, the Evaluation Team is of the opinion that this matter needs considerably more analysis before the PCC can make an informed decision in the best interest of all concerned. Unless other donors and the business community are prepared to underwrite additional costs of analysis, and create the capital necessary to endow the program, it would seem prudent not to put any further resources into this activity, and committed resources should be decommitted and put to better use; for example, assisting the Polytechnic in developing in-service programs that meet the needs of senior and mid-level managers on a more cost-effective basis than a graduate degree program.

Concerning the desire to develop an HRID-supported project in the field of health care, the Evaluation Team recommends that any further action await the outcome of the assessment scheduled to be conducted in the near future by a short-term technical advisor. If a determination is made that it will not be possible to develop a significant project for the primary targeted institution, Ministry of Health, it is suggested that an

alternative project be considered through the Private Hospital Association of Malawi (PHAM) and other sectoral organizations. Currently PHAM has a single participant from one of its members in training, but appears to have greater training and institutional development absorption capacity. Any such further consideration for support to non-Ministry of Health agencies should be done in conjunction with the Promoting Health Intervention for Child Survival (PHICS) Project.

VIII. PROJECT RESOURCE UTILIZATION

The HRID Project provides resources for project activities in the form of three types of inputs: training, technical assistance and commodities. The amounts allocated to each type of input varies according to source documents, but are generally as shown in Table 4, which also shows estimated allocations to date. The Field Office Coordinator reported to the PCC at a meeting attended by the Evaluation Team that the rate of resource utilization, by type, is on schedule. Findings about the utilization of these resources in project activities are discussed below, based on information obtained through interviews and review of project documents.

Table 4
Project Resource Utilization

Resource	Total Allocation	Current Allocation
Training	$6,000,000	$3,068,940
Technical Assistance	$8,450,000	$3,166,617
Commodities	$ 500,000	$504,193
Total	$14,950,000	$6,739,750

A. Training

According to the ProAg, the project will provide training to approximately 273 Malawians. Of this number, 213 will receive training outside Malawi, and 60 in Malawi, women receiving scholarship assistance for study in non-traditional fields.

1. Findings

The actual data will turn out to be substantially different, reflecting the flexibility to respond to changing needs. The number of women already receiving scholarship assistance is sixty-two, and the demand for additional assistance is considerably higher. Approximately thirty persons have begun, or are being processed, for participant training outside Malawi. One group received training in the region; the rest have all been sent to the United States.

The ProAg and PP Logframe inexplicably make no reference to in-country training, other than the scholarship program for women in non-traditional fields, despite the emphasis on the development of in-service training programs. Actually, a considerable number of Malawians have already received training in Malawi through the project, again demonstrating the virtue of flexibility. For example, the "sandwich" program has completed two phases of special in-service management training for educators, involving over twenty persons in each phase. The Conversion Program being developed by the College of Accountancy expects to start its training activities this year, and will reach more than fifty persons in each course sequence. Training through DEMATT and MUSCCO activities will reach dozens of persons each year. The ESCOM program will provide in-country training to approximately twenty persons a year. The Ministry of Local Government proposal has targeted more than 250 local government officials to receive training, and the BA program in Public Administration proposes to provide degree training to more than twenty in-career civil servants per year.

Turning attention to participant training activities, the Evaluation Team analyzed proposals, delivery orders and training plans approved under HRID. The chart that follows summarizes the training provided to date and planned for under HRID.

Analysis of proposals suggests that, in many cases, the development of training plans has been on the basis of organizational and performance assessments, albeit weak and frequently without appropriate linkage between training and the institutional contributions expected of trainees upon their return. Proposals have also excluded the identification of the person responsible for maintaining contact with the trainee during training and the kinds of support to be rendered. Although most training plans indicate that the requested training is essential and unavailable in Malawi, there is no clear indication that training in other African countries is either not available or considered.

Interviews conducted with four of the eight participants currently undergoing training in the United States further explain the progress towards the achievement of organizational training plans. Some participants stated that they were involved in the training plan process by writing their training plan stating their expectations of the academic training and how it would benefit them in their positions within the organization or institution. Others mentioned that their training was approved based upon their institution's training plan and outline of the institution's expectations of the training and its relevancy to the organization's overall strengthening.

Interviews with several employers indicated a strong interest in improving their training plans to enable them to receive

additional training under HRID. Although they feel that the proposed training plans link the training with the institutional contribution expectation of the trainee, this is not always evident.

Participants interviewed stated that little or no contact has been made with their employer thus far. Most attributed this to the fact that they have only recently begun their U.S. training. They did indicate their intention to maintain contact with employers and expectation of employers to keep them abreast of developments within the organization as well as provide support during their training.

During interviews with employers of participants in training it was stated that there are plans to communicate with and support the trainee(s) during training; and that the trainee's immediate supervisor would have this responsibility. They also indicated that the contact to date has been minimal.

Both participants and employers interviewed stated that upon return, placements in positions for which training was received would be made. Nine short-term trainees have returned. Of those interviewed, it is clear that this intention has been or is being achieved. Participants have returned to or been placed in positions for which they were trained. In many cases they stated that the training experience was very useful and the knowledge and skills acquired are being utilized and shared with colleagues, to the extent possible.

All participants interviewed expressed their appreciation for the one-week pre-departure orientation they received in Blantyre. They stated that it was very informative and useful. Some, however, indicated the need to be more informed about essential items they should take with them. This is very important and should be covered in greater detail to avoid trainees being under-prepared.

Interviews with the placement contractor indicate a full understanding of the organizational emphasis given to participant training in the HRID Project. All parties involved in placement and monitoring of participant trainees may need frequent reminders that HRID is different from other participant training projects in that linkages with the training and the institutional contribution expected of the participant is crucial for the successful outcome of the project. To help assure this linkage trainees must be in frequent contact with their employers to ensure that training is in line with the roles they are expected to play and contributions they are to make upon return. The placement subcontractor and the Field Office need to develop a plan of sharing responsibilities to make sure that these matters are taken care of routinely and effectively. At present there is not a procedure to monitor these matters. Where requests for

attachments to specific training have been made, it is expected that the placement subcontractor will assist to ensure that this objective is met.

To date there have been no placements in Historically Black Colleges and Universities (HBCUs). It is essential that sufficient lead time be provided the subcontractor in order to place participants appropriately. Documentation should be submitted efficiently and expeditiously to facilitate the placement process. Early submission of credentials and other required documents would eliminate any delays in placements. Ultimately, six-months advance notification should be given to facilitate the placement process.

2. Conclusions and Recommendations

In short, review of proposals indicates that a substantial number of Malawians may be receiving in-country training through HRID-supported activities. However, as background studies have indicated, there is a substantial backlog of training needs in Malawi...more than 4,500 senior and mid-level managers in all sectors...who, at any one point in time, need management training.

In the HRID Project participant training plays an important role in management development and other strategies to strengthen organizations and institutions. Participating organizations were expected from the outset to use HRID to further develop their capacity to plan for and use human resources. This aim continues to be important, even where participants have been selected or are already in training. The project, primarily through the HRID Field Office, needs to keep insisting on and supporting the linkage of participant training to the management development and organizational strengthening components of project activities.

There is early evidence that the training plan objective is an important one and can have significant payoff when the planning process is used as the project intended. It has been possible for proposals to HRID to be approved without careful screening and serious engagement in this project requirement. A detailed analysis of the training and its linkage to the institutional contribution expected of trainees is needed. An indication that third country training is desired or should be considered should also be included in training plans. Organizational objectives are often better served by in-country, third country and group training as these kinds of training can be tailored to the organization's specific needs. It is anticipated that this process will improve with close monitoring and evaluation of training plans at the proposal stage.

It is not possible at this time to evaluate long-term participant training since no participants have returned. However, all

participants interviewed stated that the academic program they are pursuing is appropriate and relevant to their current position within the organization. They also indicated that there is a plan to utilize their training within the organization upon their return. They stated that this will be achieved, in part, through their participation in in-service training, staff development, teaching and curriculum development.

Re-entry training and follow-up training is essential for all participants in training. Clarification of back home contact and the person responsible for maintaining this contact with trainees is crucial for the smooth transition of trainees upon their return. Careful planning and close monitoring of this component of training will be required to ensure its successful outcome. Contact with trainees by their employers can alleviate readjustment problems such as traditional lifestyles, local cultural norms, political situation and employment-related problems (i.e., lack of equipment, inadequate economic rewards, heavy workloads and lack of institutional interest in the training received).

Plans are underway under HRID for follow-up and re-entry seminars, conferences and workshops for participants. These should prove to be beneficial and helpful for readjustment and re-entry for trainees.

The goal of follow-up is to ensure that participants make a smooth transition from program completion to the return home. Follow-up is usually initiated by the trainee. Shortly before program completion, trainees should notify the subcontractor of their graduation date for the provision of a book shipping allowance, return airline ticket and exit evaluation. Participants should also join international professional organizations prior to their departure from the U.S. to maintain professional capacity in their area of specialization and receive journals. Participants interviewed expressed an interest in forming an alumni association of Malawians trained in the U.S. This could be an essential vehicle for accomplishing follow-up.

Specific follow-up recommendations regarding training include:

- More guidance from PCC and HRID Field Office to generate more in-country training activities as part of the human resource development and management development plans in future proposals, as well as currently funded proposals where such opportunities exist.

- More careful linkage between participant training requests and organizational needs, especially in post-training activities.

Follow-up and re-entry seminars, conferences and workshops for participants.

MALAWI HRID LONG-TERM TRAINING

NAME	INSTITUTION/ ORGANIZATION	FIELD OF STUDY	DELIVERY ORDER #	OBJECTIVES OF TRAINING ARE BASED UPON ORGANIZATIONS NEEDS	PLAN TO REMAIN IN CONTACT W/TRA'NEE DURING TRAINING	IF COUNTERPART WORK LINKED WITH ROLE OF TRAINEE	PLAN FOR TRAINEE UPON RETURN FROM TRAINING	STATUS OF TRAINING/REQ.	ADDITIONAL COMMENTS
MTIMAUKANENA, IDA	PHAM (MLAMBE HOSP.)	NURSING MSN	#5	X	X		X	CURRENTLY IN U.S. CATHOLIC UNIV. 9/89 - 12/91	
	KAMUZU COLLEGE OF NURSING UNIV. MALAWI	MSN	#5	X			X	PENDING. TRAINEE(S) NOT SELECTED YET.	
MAKOZA, F.	DEMATT	PUBLIC POLICY & MGMT MPA	#7	X	X			CURRENTLY IN U.S. HARVARD INST.INT'L DEV 6/89 - 6/90	INITIAL REQUEST WAS FOR SHORT-TERM TRAINING.
	DEMATT	AGRO-INDUST'L DEVL'MNT M.Sc.	#7	X				PENDING. TRAINEE NOT SELECTED YET.	
SEMU, L.	CHANCELLOR COLLEGE UNIV. MALAWI	RURAL SOCIOLOGY M.A.	#7	X	X	COUNTERPART IN MALAWI CURRENTLY X	X	CURRENTLY IN U.S. UNIV. OF ILLINOIS 8/89 - 12/91	
NGWIRA, N.	CTR.FOR SOCIAL RESEARCH UNIV. MALAWI	AGRI.ECO. RSCH IN WOMEN&DEV PH.D.	#7	X	X	COUNTERPART REQUESTED X	X	CURRENTLY IN U.S. MICHIGAN STATE UNIV. 9/89 - 6/94	RESEARCH TO BE DONE IN MALAWI.
MASANZA, A.	DEMATT	HUMAN RESOURCE DEVL'MNT MPA	#7	X	X		X	CURRENTLY IN U.S. VIRGINIA COMMONWEALTH U 8/89 - 6/91	NTL - UNIV. MASS REQUESTED
MKWEZALAMBA, MAXWELL	CHANCELLOR COLLEGE UNIV. MALAWI	ECONOMICS PH.D.	#20	X			X	PENDING	PH.D. TRAINING REQUESTED 11/89

MALAWI HRID LONG-TERM TRAINING

NAME	INSTITUTION/ ORGANIZATION	FIELD OF STUDY	DELIVERY ORDER #	OBJECTIVES OF TRAINING ARE BASED UPON ORGANIZATIONS NEEDS	PLAN TO REMAIN IN CONTACT W/TRAINEE DURING TRAINING	IF COUNTERPART WORK LINKED WITH ROLE OF TRAINEE	PLAN FOR TRAINEE UPON RETURN FROM TRAINING	STATUS OF TRAINING/REQ.	ADDITIONAL COMMENTS
SAMBAKUNSI, F.	CHANCELLOR COLLEGE UNIV. MALAWI	TRANSPORT ECONOMICS M.A.	#20	X	X		X	CURRENTLY IN U.S. UNIV. ILLINOIS 1/89 - 12/91	
MSOSA, C.	DPM & T	PERSONNEL MGMT HRD MPA	#22	X	X		X	CURRENTLY IN U.S. VIRGINIA COMMONWEALTH U 1/90 - 12/91	MGMT CONSULTING FIRM OR PERSONNEL DEPT. ATTACHMENTS REQ.
NYONDO, J.	DPM & T	PERSONNEL MGMT HRD MPA	#22	X	X		X	CURRENTLY IN U.S. VIRGINIA COMMONWEALTH U 1/90 - 12/91	MGMT CONSULTING FIRM OR PERSONNEL DEPT. ATTACHMENTS REQ.
CHIWAULA, B.	OFFICE OF PRESIDENT & CABINET	COMMUNI-CATION M.A.	#22					PENDING. REQUESTED 10/89	INTERPERSONAL & SPEECH COMMUNI-CATION EMPHASIS.
SALAMA, R.	MALAWI EXPORT PROMOTION COUNCIL (MEPC)	INT'L TRADE/ BUSINESS M.A.	#22	X	X		X	PENDING. PCC APPROVED.	
CHOKOTHO, S.	MALAWI BUREAU OF STANDARDS (MBS)	FOOD SCIENCE M.Sc.	#22	X	X		X	PENDING. REPLACEMENT CANDIDATE NEEDED.	CANDIDATE HAS RESIGNED FROM MBS.
LIABUNYA, E.	KAMUZU COLLEGE OF NURSING UNIV. MALAWI	NURSING - CLINICAL, TEACHING, MIDWIFERY	#23	X			X	PENDING.	
GONDWE, E.	OFFICE OF PRESIDENT & CABINET (DPMT COMMON SVCS)	RURAL DEVELOP-MENT M.A.	#24				X	CANDIDATE HAS BEEN GIVEN AMBASSADORIAL POST - GERMANY	REPLACEMENT PROPOSED

MALAWI HRID LONG-TERM TRAINING

NAME	INSTITUTION/ ORGANIZATION	FIELD OF STUDY	DELIVERY ORDER #	OBJECTIVES OF TRAINING ARE BASED UPON ORGANIZATIONS NEEDS	PLAN TO REMAIN IN CONTACT W/TRAINEE DURING TRAINING	IF COUNTERPART WORK LINKED WITH ROLE OF TRAINEE	PLAN FOR TRAINEE UPON RETURN FROM TRAINING	STATUS OF TRAINING/REQ.	ADDITIONAL COMMENTS
	MALAWI BROADCAST CORPORATION (MBC)	VARIOUS	NO DELIVERY ORDER YET	X	X	N/A	X	PENDING SELECTION OF 3 CANDIDATES	
	BUNDA COLLEGE UNIV. MALAWI		NO DELIVERY ORDER YET					PENDING	DELIVERY ORDER IN PROCESS.
	UNIV. MALAWI (VARIOUS COLLEGES)	VARIOUS	PROJECT * IMPLEMEN-TATION LTR (PIL)					CURRENTLY IN UNDERGRADUATE AND POST-GRAD TRAINING	62 WOMEN IN TRAINING

PIL agreement between USAID & GOM directly.

MALAWI HRID SHORT-TERM TRAINING
IN-COUNTRY, IN U.S., THIRD COUNTRY

NAME	INSTITUTION/ ORGANIZATION	FIELD OF STUDY	DELIVERY ORDER #	OBJECTIVES OF TRAINING ARE BASED UPON ORGANIZATIONS NEEDS	PLAN TO REMAIN IN CONTACT W/TRAINEE DURING TRAINING	IF COUNTERPART WORK LINKED WITH ROLE OF TRAINEE	PLAN FOR TRAINEE UPON RETURN FROM TRAINING	STATUS OF TRAINING/REQ.	TRAINING LOCATION
JAFFU, J.K. KABAMBE, M.E. LUKWA, G.S. MANGANI, D.P. MSOSA, A.J.	DPM&T	MGMT INFO. SYST(MIS) COMPUTERS	#6	X			X	TRAINING COURSES COMPLETED	BLANTYRE; U.S. N. CAROLINA
KANUNKHA, M. NKUNIKA, V.	MUSCCO		#7	X			X	TRAINING COMPLETED	ZIMBABWE (ESAMI)
LOWE, P.N.	MUSCCO	BUSINESS ACCTNG	#7	X			X	TRAINING COURSE(S) COMPLETED	TANZANIA (ESAMI)
MSAUKA, F.	MINISTRY OF JUSTICE	PERSONNEL MGMT	#22	X			X	CURRENTLY IN TRAINING 1/90 - 9/90	WASHINGTON, D.C. U.S.A. WORLD CTR FOR DEVL'MNT & TRNG
BANDA, F.	MINISTRY OF FORESTRY	PERSONNEL MGMT	#22	X			X	CURRENTLY IN TRAINING 1/90 - 9/90	NEW HAMPSHIRE U.S.A. NEW HAMPSHIRE COLLEGE
MKOKO, A.	DPM&T	MGMT	#22	X			X	CURRENTLY IN TRAINING 1/90 - 9/90	WASHINGTON, D.C. U.S.A. WORLD CTR FOR DEVL'MNT & TRNG
SAMBO, E.	DPM&T	PERSONNEL HUMAN RESOURCE MGMT	#22	X			X	CURRENTLY IN TRAINING 3/90 - 11/90	MICHIGAN, U.S.A. FERRIS ST. UNIVERSITY
PIDA, G.	PUBLIC SERVICE COMMISSION	MGMT	#22	X			X	CURRENTLY IN TRAINING 1/90 - 9/90	DELAWARE, U.S.A. GOLDY-BEACOM COLLEGE

MALAWI HRID SHORT-TERM TRAINING
IN-COUNTRY, IN U.S., THIRD COUNTRY

NAME	INSTITUTION/ ORGANIZATION	FIELD OF STUDY	DELIVERY ORDER #	OBJECTIVES OF TRAINING ARE BASED UPON ORGANIZATIONS NEEDS	PLAN TO REMAIN IN CONTACT W/TRAINEE DURING TRAINING	IF COUNTERPART WORK LINKED WITH ROLE OF TRAINEE	PLAN FOR TRAINEE UPON RETURN FROM TRAINING	STATUS OF TRAINING/REQ.	TRAINING LOCATION
VARETA,T.I.M.	MINISTRY OF TRADE,INDÜSTRY AND TOURISM	TRADE POLICY; TOURISM DEV&PROM.	#22	X				3-MO TRAINING REQT'D 10/89. TRAINING HAS NOT BEGUN.	NOT DETERMINED
MAINALA, S.	MINISTRY OF WORKS	FED,STATE GOV'T ORIENTA-TION STDY	#19					27-DAY TOUR IN U.S. COMPLETED 3/90	CALIFORNIA, WASHINGTON, D.C. U.S.A.
BANDA, M.	MINISTRY OF WORKS	FED,STATE GOV'T ORIENTA-TION STDY	#19					27-DAY U.S. TOUR REQUESTED PENDING.	CALIFORNIA, WASHINGTON, D.C. U.S.A.

B. Technical Assistance

Technical assistance is the second type of resource for which HRID funds have been allocated. According to the ProAg, the project expects to provide approximately 81 person years of short- and long-term technical assistance with 74 person years being long-term and 7 person years short-term. The long-term technical assistance personnel will be Operational Experts (OPEXers) who fill line-positions in organizations and, through counterpart association, help carry out a process of technology transfer and adaptation which should result in the host organization having a better base for management development and improved operations.

Similarly, short-term technical assistance is concentrated on institutional strengthening through management development. Most of the short-term personnel will be conducting in-country training programs and working with the various educational institutions on curriculum design and development.

1. Findings

The HRID Project has made use of both long- and short-term technical assistance. Currently, five OPEXers are in Malawi at DEMATT, Chancellor College, ESCOM and the Ministry of Works and Supplies. Details of their workplans and activities are found in Appendix 10.

Interviews with OPEX staff and with activity grantees centered around: orientation of advisors, institutional development strategies, support from the Field Office and from the grantee, and issues and concerns.

Advisors are in every case very pleased with the orientation and preparation they received from the Academy for Educational Development in Washington, DC. Administrative matters were dealt with in a timely and efficient manner and information was thorough and effectively presented. In many cases, Malawians had been involved in the selection of the advisor and were instrumental in establishing an early understanding of the context in which the job would be done.

Advisors understand the HRID Project as an institutional development project. They are clear about the importance of their counterpart relationships and they have strategies for transferring knowledge and skills to them. Most of the advisors are involved directly in training. They are aware of the proposal process and needs analysis that was performed prior to their arrival and they have reviewed their terms of reference with key actors in the grantee organization. Many of the advisors, long- and short-term, have a phased plan for

implementation that calls for increasing reliance on Malawians.

The HRID Field Office has been responsive to the needs of advisors and has assisted in solving housing and other logistical problems. Staff have always been available to advisors when needed.

Two issues or concerns arose in assessing the performance of technical assistance under HRID. First, the length of the contract was questioned. Four out of five long-term advisors believe that their contracts are insufficient in length to complete the scope of work which they have undertaken. The estimates of time needed range from six months (ESCOM) to three years (Ministry of Works and Supplies). Second, grantees have expressed an interest in greater involvement in advisor evaluations. They are aware of the six-month reporting requirement and at least two grantees would like to be more substantively involved in the process.

2. Conclusions and Recommendations

The performance of technical assistance under HRID is excellent and should be expected to make a contribution to the outcomes that the project intends to achieve. Credit should be given to AED and to grantees for solid planning for and support of advisors.

To address the issues concerning OPEXers contract length, and grantee involvement in evaluation of technical assistance, it is recommended that periodic reports from OPEXers <u>and</u> host institutions focus on progress of institution building tasks, based on a detailed workplan developed and agreed to by all parties during the first month of the OPEXer's assignment. Steps already being initiated in this regard, such as the "Skill and Knowledge Transfer Plan and Assessment" report recently completed by the HRD OPEXer assigned to DEMATT, need to be evaluated by all parties to see if they are useful and have the intended effect, including an assessment of the feasibility of the OPEXer's contract.

C. Commodities

Commodities are the third type of resource used in project activities. Commodities include instructional materials, equipment (computers, photo copy machines, vehicles, etc.), and other materials to be used in connection with the development and implementation of in-country training and institutional strengthening.

1. Findings

It is too early in the project to assess implementation of

commodity procurement related to project activities. Suffice it to say that the usual problems of delay, equipment compatibility, support capability of vendors can be expected. There is a U.S.-based project subcontractor, Aurora, Inc., which is to provide all necessary arrangements related to commodity procurement. The Evaluation Team is concerned about the efficacy of a U.S.-based contractor, rather than a local contractor, to provide this service, since local conditions vary so much, and vendor reliability is not generally predictable in developing countries. These concerns are general, and do not arise from any specific situation in the HRID Project.

The Evaluation Team did review the plans for commodity acquisition in relation to management development and other institutional strengthening activities, as indicated in project proposals. The general impression is that commodity acquisition planning does not always reflect careful analysis and thoughtful integration with other resources and other project activities. There is a need for more careful review of proposal budgets and narrative by the HRID Field Office and the PCC.

2. Conclusions and Recommendations

The HRID Field Office and the PCC need to review commodity acquisition plans much more carefully to assure appropriate balance and utilization of commodities with other project resources.

IX. NEXT STEPS: SUMMARY OF KEY RECOMMENDATIONS

This section summarizes principal recommendations made by the Evaluation Team for each of the key institutional actors. As a reminder of the context for each recommendation, a brief "situation" statement precedes the recommendation.

A. Project Coordinating Committee

The Evaluation Team recommends that the PCC, as the focal point in the HRID decision structure, consider the following actions in order to address future decisions effectively:

The PCC is approaching another watershed; it will soon have allocated all of the HRID Project funds and find itself in the position of not having a clear picture of its purpose. Yet, its purpose, in the larger context of improving human resource development and strengthening institutional development, may still be very important if it takes the time to step back from the routine it has become accustomed to and reconsider what challenges still lie ahead, and which of those it can productively accept.

Recommendations

- Develop a strategic plan regarding its mission, activities and resources for the remainder of HRID and beyond, including consideration of issues raised in the evaluation about the PCC's role in improving donor coordination.

- Request the HRID Working Group to prepare an Action Plan for the remainder of the project, including: a monitoring and evaluation plan; a statement of roles and responsibilities for key institutional actors, including the PCC and grantees; proposals for resolving USAID's need for action in order to obligate funds to the project; proposals for resolving the subcommittee problem and, at the same time, improving the proposal process.

- Set aside time to review periodically the state of human resource development and institutional strengthening in Malawi, and the progress HRID is making towards having an impact on the situation.

B. USAID/Malawi

The recommendations for the Mission are organized within issue areas which may lend themselves to delegation within the Mission, as a way to make action more manageable.

1. Project Management

Lack of clarity within USAID/Malawi on internal roles and responsibilities, heightened by departure of Deputy Director/Project Manager.

Recommendation

- Clarify internal roles and responsibilities. See Appendix 5 for suggestions.

Project is shifting into implementation monitoring phase. It is likely that the paperwork demands associated with project start-up may lessen. However, management staffing implications for monitoring project implementation are not clear, since roles and responsibilities for this task area have not been decided.

Recommendations

- Decide where day-to-day responsibility for implementation monitoring should be. (The Evaluation Team recommends that it be with the HRID Field Office, for reasons of modeling institutional strengthening.)

- Based on the decision regarding the above, determine whether additional staffing is needed either by USAID or HRID Field Office, and take appropriate steps to implement any staffing changes.

2. Project Focus

The project focus dialogue within the Mission has been useful, up to a point. How much more discussion is needed?

Recommendations

- Consider the options in this report; consult with HRID Working Group and PCC regarding options, and make a decision which serves Malawi's needs and respects the project decision structure.

- Demonstrate support for the project more visibly (e.g., Attendance by Mission Director at a "turning over" ceremony, graduation of scholarship recipients, etc.)

Project purpose, objectives and EOPS have changed since PP and ProAg.

Recommendations

- Develop appropriate documentation (options include amendments to PP and ProAg or a PIL) to indicate changes and their rationale.

- Use this task as an opportunity to reestablish commitment to the spirit of collaboration. Avoid the situation of the Mission and the Field Office getting too far ahead of the Government.

3. Project Approach

The HRID Project was designed and initiated using an approach to human resource development and institutional strengthening that evolves out of the needs of the situation, as determined by the stakeholders in the project. This is an approach which can be frustrating if not managed carefully and consistently. However, its strength is that it enhances the possibilities of sustainability.

Recommendation

- Stick with the current approach of the project to human resource development and institutional strengthening.

4. Openness in the Decision Process

Despite the theme of collaboration ,there is a perception among some key actors that USAID is increasingly making decisions regarding the project outside the PCC and bringing these to the PCC for rubber-stamping.

Recommendation

- USAID needs to demonstrate in actions and words that it will make its concerns and wishes known in the appropriate project forum. The effectiveness of the PCC is currently limited by the less than full participation by the DPM&T. It is urgent that USAID and DPM&T have an open and thorough discussion of their desires and expectations for the project from this point forward.

5. Donor Coordination

Other donors are using approaches to HRD which are similar to that being developed in this project (i.e., linking training and technical assistance more closely to specific needs for strengthening specific organizations or institutions). This is creating a positive environment for tackling some common issues in a coordinative, or at least more consultative way.

Recommendations

- HRID Project staff need to be more aggressive in knowing what other donors are doing or thinking of doing in specific areas of the HRID Project (e.g., nursing education); with

specific agencies (e.g., DPM&T), or as regards certain policies and procedures (conditionalities for returned trainees returning to the job for which they were trained, for a minimum period of time; local currency subsistence costs for Malawians attending workshops in Malawi).

- It is suggested that the PCC invite donor participation in meetings when relevant. This may include involvement in technical review of proposals.

C. HRID Working Group

The following recommendations have been discussed with the Working Group.

Key actors have concerns about DPM&T's commitment to the project, both as a managing "partner" and as an assistance receiving "client."

Recommendations

- DPM&T needs to clarify how it wants to participate in the project. It is suggested that DPM&T engage in a strategic assessment of mission, capabilities, and options. Given the recent appointment of senior DPM&T officials, such an activity would have a benefit beyond HRID.

- Based on the above, DPM&T needs to determine what roles and responsibilities it can realistically carry out in the Working Group, and what resources it may need to do this.

- It is recommended that the HRID Project consider providing additional staff support for DPM&T, perhaps on a contractual basis, in order to ensure that sufficient attention can be given to strengthening DPM&T's role in the project, and more importantly, in institutionalizing learning about human resource development and institutional development which has been gained through HRID Project involvement. One particular area which DPM&T might have a greater role, supported through project funding, is in the design and implementation of a monitoring and evaluation plan.

Key actors need an overall Project Action Plan to guide the PCC and the Working Group.

Recommendations

- The Working Group should initiate in the immediate future a series of intensive meetings to carefully review, discuss and respond to the evaluation report.

- It is recommended that the outcome of this activity be a set

of recommendations for the PCC to consider covering:

- Project focus/priorities for uncommitted funds;
- Project implementation plan and schedule;
- Project monitoring and evaluation plan and schedule, reflecting review and agreement on EOPS;
- Enhanced donor coordination;
- Allocation of roles and responsibilities among PCC and Working Group members regarding the above tasks; and
- Conscious design of remaining project activities at PCC, Working Group and grantee levels to reflect "process" approach's need to learn and adapt.

Vague post-training plans to link project supported training to capacity building or improved management practices within organizations.

Recommendations

- Assure that future proposals are more specific.
- Specify how current activities could be "tightened," in the planning stage, during training, and post-training.
- Allocate responsibility for follow-up of above, and include in implementation and monitoring plans (including specific role/tasks of PT subcontractor).

OPEXers contracts may be too short to accomplish institutional strengthening tasks; host institutions may need assistance in integrating and assessing OPEXers work.

Recommendations

- Have periodic reports from OPEXers and host institutions focus on progress of institution building tasks, based on a detailed workplan developed and agreed to by all parties during the first month of the OPEXer's assignment. Steps already being initiated in this regard need to be evaluated by all parties to see if they are useful and have the intended effect, including an assessment of the feasibility of the OPEXer's contract.

Initiating management development and/or organizational

strengthening activities in critical development Ministries have proceeded at a pace slower than anticipated. During the interim evaluation the key institutional actors reaffirmed the project's commitment to this objective, and acknowledged that this objective will require much more attention and substantive involvement by Field Office staff.

Recommendations

- The project's design regarding this objective needs much more careful analysis and planning; explicit strategic planning within targeted organizations may be a prerequisite to initiating realistic workplans, and coordinating multi-donor resources in a more effective manner.

- The Working Group should structure roles, responsibilities and staffing of HRID Field Office so that staff are able to spend more of their time substantively involved with management development and organizational strengthening activities in targeted organizations. Their involvement should be integrated with the activities of short-term TA brought in for strategic planning or other "scope setting" activities in the target organization (e.g., the forthcoming assignment of TA for the Ministry of Health).

PCC subcommittees are in limbo.

Recommendations

- Determine what role, if any, subcommittees have in monitoring project activities, and recommend to PCC accordingly.

- Determine whether proposal reviews for remaining funds can be better done by ad hoc technical review panels rather than presently constituted subcommittees, and recommend to PCC appropriate changes.

Project activities related to WID objectives seem scattered and vulnerable to unsustainability.

Recommendations

- Consider a PCC representative for the WID objective.

- Consider additional funding to NCWD to implement the strategic planning being funded by the project.

- While continuing the present broad focus on pre-service education for women, consider narrowing the focus on in-service training for women to women-in-management.

"Donor coordination" is a vague goal in the HRID Project; it needs a clearly designed rationale and workplan.

Recommendation

- Given the momentum of NATCAP, and the leadership roles the Field Office and DPM&T have had in NATCAP, the Working Group should develop a "donor coordination gameplan" which builds on this situation.

X. LESSONS LEARNED

USAID project evaluations require a section presumptuously entitled "Lessons Learned." There are two issues related to this requirement worth mentioning. First, formative evaluations frequently offer limited scope for learning, except as primarily related to design issues. Second, there is the question of who has done the learning. Generally evaluators make assumptions that what they have learned has also been learned by others involved in the project. Experience suggests this is not the case. In the first part of this section the Evaluation Team identifies lessons that all key players acknowledge having learned. In the second part the team discusses lessons which, to put it euphemistically, may still be in the process of being learned.

A. Lessons Learned

1. Don't Bet It All on the First Hand

Projects which are designed using a "process" approach expect to evolve as the project is carried out. Yet, in this project key institutional actors did not take necessary precautions to preserve funding flexibility for project evolution. In effect, all $18 million of project funds were allowed to be put on the table at the start of the project. To compound matters, it was put, in essence, into one big pile, without indicative allocations for categories of need, even though such types of need were identified in the PP and ProAg. This has led to several serious problems: unrealistic expectations about the availability of funding; lack of project flexibility in future years when project needs may change; the lack of guidelines at project and grantee levels for a "reserve" and, loss of project credibility among some target organizations when corrective changes were made.

2. Start Small, Go Slow, Test, Listen, and Make Sure Everyone's Aboard

A corollary to the first lesson in "process" based projects is to make certain that the process is working. This project started too big (spread the net too broadly); moved too quickly (and has been "overwhelmed" by paperwork...which says something about absorptive capacity on the donor side); did not test some of the key assumptions on which the project design was based (e.g., interest and ability of critical development agencies to undertake serious institutional strengthening activities; personnel policies would not hinder human resource development); has not listened adequately to some of the key actors, and as a consequence, has been spending too much time on issues that should have been resolved earlier.

3. Fourth Generation Evaluation Methodology

The Evaluation Team planned and conducted its activities using a methodology which explicitly expects evaluators to "intervene" in the project, rather than remaining apart from it, and, to develop an evaluation focus based on current realities rather than a priori assumptions. The outcome of this methodology is an agenda for future action, agreed to by all concerned, rather than a report soon forgotten. For example, Appendix 5 is an agenda for clarifying roles and responsibilities. It was developed collaboratively as part of the evaluation process. To project managers and evaluators not familiar with this methodology, fourth generation evaluation offers an important alternative to traditional methodologies, and provides an analytic framework and support for intuitive evaluation practices many have been using.

B. Lessons in Progress

1. Respect the Process

Implementing a project based on a "process" model requires a commitment to respect the process at all times, by all parties. Collaboration must be practiced, not just preached. This lesson has not yet been learned. For example, the Working Group still has not assured all parties that its agendas meet the needs of all in the Working Group.

2. Confront Issues of Mutual Concern

A corollary of the first; respect for the process will grow out of a willingness to confront issues, and to learn how to resolve them to the project's benefit. For example, there has been relatively little planning to shift the project from a phase of making decisions about funding allocations to a phase of implementing and developing monitoring systems and capability. Yet no one has taken responsibility for this situation and confronted it. Another example concerns the subcommittees of the project; they have been left hanging in limbo, rather than being dealt with in a manner that might have led to improvement in their performance.

3. Individual Learning Does Not Necessarily Mean Group Learning

Interviewed key actors demonstrated that as individuals many of them have learned important lessons from the project. However, it was also evident that some of these individually learned lessons have not been learned by the group of which the individual is a key member. Not only is this an important consideration in a process driven project, it also speaks to a key assumption about project design. Institutional strengthening will not occur if individuals are engaged in training/learning;

to be effective, institutional strengthening must involve a critical mass of the key members of the organization, who share the learning outcomes as members of working groups. If HRID Working Group members have difficulty making the individual-group learning transition, it is unlikely that they will be modeling this behavior for others.

4. The Project Itself Is a Model for Institutional Strengthening

Associated with the above lesson is another lesson that is generally looked for in all development projects, and especially those based on the "process" model: the project itself is a model in institutional strengthening for the groups and organizations with which it works. This means that all key activities and phases of the project should be designed, implemented and evaluated as learning opportunities for involved organizations. This has important implications for the staffing and management of the project. Staff must be comfortable with being role models, must plan and conduct their business with that dimension in mind, and should have a thorough understanding of what it is they are trying to model and a willingness to learn more about it. This may have an impact on short-term efficiency, but there should be offsetting benefits in long-term gain in efficiency, effectiveness and sustainability.

5. Sometimes the System Doesn't Work

A.I.D.'s process of project design and approval is intended to bring critical analysis to bear at key decision points. But sometimes this system does not work, and the opportunities for criticism are missed, leading to future problems. This situation has happened in the HRID Project at several junctures.

a. In the project design phase, the Project Paper calls for an institutional analysis of key implementing agencies, which is DPM&T in this project. An analysis of its capacity to carry out its intended role should have been done, but was not. The result was a series of errors in assumptions and design which continue to hinder project performance.

b. Project Papers require a project implementation plan. The HRID PP did not have one, there still isn't one, and the pressures on the Working Group reflect this oversight.

c. In the project approval phase, the fact that the institutional analysis of DPM&T and an implementation plan had not been prepared should have been flagged and approval withheld until these items had been completed.

d. In the early stages of project implementation, the emerging differences in perspectives about the focus of the project were not resolved. In part this was due to pressure on DPM&T and the PCC to keep doors of opportunity open. In part it was due to a changing cast of actors, within the Mission and DPM&T. And in part this was due, within the Mission, to fundamental differences in view which are seldom resolved in a bureaucratic environment such as A.I.D.

6. And Sometimes it Does

The formative evaluation is intended to identify areas which need corrective action. This evaluation has identified several such areas: the need to clarify roles and responsibilities of key actors, and plan staffing requirements accordingly; the need for a project implementation plan; the need for monitoring activities at project and grantee levels; and, the need to revise key project documents (PP, ProAg, contract, logframe) to reflect important changes in the project.

APPENDICES

APPENDIX 1 Scope of Work for Interim Evaluation of the HRID Project USAID/Malawi

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT

PROJECT EVALUATION

(612-0230)

Areas to be Evaluated

A. Project Objectives

Are the revised project objectives still so overly ambitious as to preclude substantial, sustainable impact in the target institutions/organizations? Given the limited time and financial resources of the project, should the focus be further sharpened to permit significant, lasting gains in at least a few organizations? Are there critical areas not being addressed in the revised objectives which were, or were not, identified during the project's development?

Are there constraints to addressing the training needs of women and the institutional development assistance requirements of the private sector which need to be redressed? If so, how might this be done?

B. Institutional Development Approach to Training

Is the institutional development approach to training appropriate in Malawi given the governmental practice of frequent shifts in personnel resulting in the rapid mobility of its work force? Should a different approach to human resources development be adapted here?

Are appropriate in-country training institutions being targeted for assistance, and are the particular programs to be strengthened of relative high priority?

Are the training plans approved for HRID funding based on comprehensive institutional development plans?

Have local organizations, Government of Malawi, and donors altered their approach and perceptions of training as a result of the HRID project? What constructive criticisms have they provided?

C. Donor Coordination in Human Resources Development

Do approved proposals reflect other donor contributions to the human resources development plan of the organization and linkages

among them?

Should HRID integrate other donors into its planning and approval process to ensure the efficient well-coordinated use of donor funds? Is NATCAP participation desirable?

D. Proposal Formulation and Approval Process

Do Ministries and private sector organizations understand the HRID proposal requirements? What has been the value of workshops to date and how might future workshops or directives on proposal formulation be strengthened? Are participating organizations better able to take an organizational or institutional approach to planning of technical assistance and human resource development, and do proposals demonstrate sound prioritizing of training needs?

Has the subcommittee involvement been too greatly reduced? One of the objectives of the project was to have participating organizations play a more active role in setting and implementing human resources priorities. Is this still possible within the new process? If so, how can it be done within the project's present constraints?

E. Project Operation

Is the process approach to implementation effective? The approach was adopted to permit flexibility, enabling project management to respond to human resource and institutional needs over time, while at the same time realizing significant impact in the organizations the project is involved with. Is this the best approach? Could the approach be improved upon? If so, how and at what cost?

F. Project Activities

Is the managerial function of HRID-supported organizations being strengthened? Will the approach taken to strengthen training institutions yield the greatest impact possible given the resources available to HRID? The Evaluation Team should suggest measurable indicators for assessing institutional and organizational impacts and their sustainability.

G. Project Management

Are the roles and responsibilities of DPM&T, USAID and AED appropriate and clear? Should these be modified to enhance project management? Will this require a different staff mix? Identify areas for improvement. Assess performance of the Academy for Educational Development (AED) and its sub-contractors in providing all required services, and of USAID and DPM&T in providing oversight and program direction to the contractor and

participating organizations?

APPENDIX 2 List of HRID Evaluation Interviewees

Mr. Ken Allen
HRID Technical Advisor, Agro-Industry
DEMATT

Ms. Dorothy Anderson
Participant Training Coordinator
Institute of International Education

Mr. Garth Armstrong
Principal Secretary
Department of Statutory Bodies

Mr. James Buliani
Management Centre
Polytechnic College
University of Malawi

Mr. Henry Chibwana
Registrar
Malawi Institute of Management

Dr. Prainy Chikhula
Principal
Polytechnic College
University of Malawi

Mr. Cassim Chilumpha
MBA Working Group
Polytechnic College
University of Malawi

Dr. Brown Chimphamba
Principal
Bunda College of Agriculture
University of Malawi

Mr. James Chipeta
Department of Business Studies
Polytechnic College
University of Malawi

Dr. S. Chiyenda
University Tracer Study
Bunda College of Agriculture

Mr. Charles Clark
Secretary
Ministry of Works and Supplies

Dr. Jean Davison
HRID Technical Advisor, Sociology Department
Chancellor College
University of Malawi

Dr. John Dubbey
Vice-Chancellor
University of Malawi

Mr. Hugh Gibson
HRID Technical Advisor
Ministry of Works and Supplies

Mr. Chris Hansen
Financial Management & Planning Advisor
MUSCCO

Mr. John Hatch
HRID Project Manager
Academy for Educational Development

Mr. Donald Henry
READI Project Coordinator

Dr. Zimani Kadzamira
Principal
Chancellor College
University of Malawi

Mrs. Kalyati
Secretary for Community Services
National Commission for Women in Development

Mr. F. Kamanga
Ministry of Finance PCC Representative

Mrs. Kamtengeni
Chief, Community Development
National Commission for
Women in Development

Dr. J.A.K. Kandawire
Sociology Department
Chancellor College
University of Malawi

Dr. Benson Kandoole
Dean/Department Chairman
Economics Department
Chancellor College
University of Malawi

Dr. Z. Kasomekera
University Tracer Study
Bunda College of Agriculture

Mr. Khulumula
General Manager
Malawi Bureau of Standards

Dr. Joseph Kuthemba-Muale
Education Department (UCE/MED Programs)
Chancellor College
University of Malawi

Mr. Dick Maganga
Acting General Manager
DEMATT

Mr. J.B.L. Malange
General Manager
Malawi Export Promotion Council

Mr. Malunga
Senior Assistant Finance Officer
University of Malawi

Mr. John Malone
Resident Representative
World Bank

Mr. D.C. Manda
Principal
Malawi College of Accountancy

Mr. B.B. Mawindo
Deputy Secretary
Ministry of Finance

Mr. J.M. Mhango
U.S. Desk Officer/EPD Official
Ministry of Finance

Mr. George Mkondiwa
Chief Training Officer
Department of Personnel Management & Training

Mr. T.J.K. Mkwamba
Deputy Secretary for Training
Department of Personnel Management & Training

Mr. S. Mpasu
General Manager
Associated Chambers of Commerce & Industry of Malawi

Mrs. F.T. Msonthi
Senior Assistant Registrar
University of Malawi

Mr. Aggrey Msosa
Senior Training Officer/MIS Development Team
Department of Personnel Management & Training

Mr. Louis Msukwa
Director
Centre for Social Research

Mr. Mvula
Ministry of Trade Industry & Tourism

Mr. Stuart Newton
British Council

Mr. Nyimba
Community Development Officer/Planning
National Commission for Women in Development

Mr. Stocker O'Hara
Deputy General Manager
Malawi Export Promotion Council

Mr. Bently M. Phiri
Secretary
Ministry of Local Government

Dr. Gretchen Roedde
Health Care Consultant to GTZ and
Canadian International Development Agency

Mr. Nessan Ronan
ILO Advisor
Malawi College of Accountancy

Mr. Eric Sankhulani
MBA Working Group
Polytechnic College
University of Malawi

Mr. McCallum Sibande
Training Officer
Department of Personnel Management & Training

Dr. Fred Schindeler
Principal
Malawi Institute of Management

Mrs. Sinoya
Women's Programs
National Commission for
Women in Development

Mr. Jerry Schultz
HRID Technical Training Advisor
DEMATT

Mr. Tod Smith
HRID Technical Advisor Advisor
ESCOM

Mr. Joe Thomas
HRID Technical Advisor
MUSCCO

Mr. L.H.K. Tomoka
Administrative Secretary
Malawi Export Promotion Council

Mr. Vareta
Secretary
Ministry of Trade Industry & Tourism

Mr. Duncan Williamson
ODA Technical Advisor
Department of Business Studies
Polytechnic College
University of Malawi

Mr. David Wood
Manpower Planning and Training
Overseas Development Agency

Mr. Worku
Deputy Resident Representative
United Nations Development Programme

Mr. Earl Yates
Vice President and Director
Basic Education and Training Programs
Academy for Educational Development

<u>USAID Mission</u>

Ms. Carol Peasley, Mission Director
Dr. Richard Shortlidge, Deputy Mission Director and
HRID Project Manager
Mr. Rashmikant B. Amin, Controller
Mr. Richard Day, Program Officer
Ms. Lucy Chris Kaliu, Training Officer

Mr. Gary Newton, Health, Nutrition & Population Officer
Ms. Joan Newton, HRID Project Coordinator
Mr. Stephen Norton, Projects Development Officer
Mr. Arnold Raddi, Agriculture Officer

HRID Project Field Office

Dr. Rudi Klauss, Field Coordinator
Academy for Educational Development
Mr. Patrick Mulawu, Field Officer

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APPENDIX 4 HRID Project Commitments - Details of Table 2

(3/31/90)

1. Institutional Training Capacity.....$2,895,342.....22.5.....16.1

TA/CSR	240,000
Econ (transport)	390,000
MEd	42,688
UCE	54,000
Bunda I	704,000
Bunda II	1,040,000
Engineering	86,000
UCE	116,000
Mgmt Ed	174,000
COA Conversion	32,308
Conversion	16,346
Subtotal	2,895.342

2. Increase Capacity of Trained Employees in Critical Development Ministries.....$2,224,756.....17.3.....12.4

MOWS	450.993
MOWS	360,007
MOLG	745,500
MOH	24,911
ESCOM	179,345
MBS	58,000
MEPC	58,000
PHAM	58,000
MBC	174,000
MEPC	58,000
MBS	58,000
Subtotal	2,224,756

3. Increase Malawian Managers.....$ 596,000.....4.6.....3.3

MBA Program	356,000
BA/Public Admin	240,000
Subtotal	596,000

4. Institutional Infrastructure for Small and Medium Enterprise Development.....$1,092,761.....8.5.....6.1

DEMATT	592,349			
MUSCCO	34,000			
MUSCCO/COA	13,154			
DEMATT	253,976			
DEMATT	15,024			
ACCIM	184,258			
Subtotal	1,092,761			
5. Increase Number of Women in Professional, Technical and Managerial Fields		$1,466,560	11.4	8.2
Women's Scholarship	503,109			
Econ Research WID	117,000			
Sociology WID	229,451			
KCN	116,000			
KCN	58,000			
NCWD	443,000			
Subtotal	1,466,560			
6. Develop Personnel Mgmt Capacity of DPM&T and Other Critical Agencies		$ 919,073	7.1	5.1
DPM&T	577,073			
DPM&T	156,000			
Personnel Other Agencies	186,000			
Subtotal	919,073			
SUBTOTAL		$9,194,492	71.4	51.1
Project Support for PT and TA to Plan and Evaluate Proposals, Ministries		$ 470,971	3.7	2.6
General Program Support	367,226			
PT Follow-up	32,925			
PT Follow-up	67,725			
PT Test	3,095			
Subtotal	470,971			
Administration (Core contract project evaluations, PSC salary for two years)		$3,222,149	24.9	17.9
Core Contract	1,474,414			
Core Contract	250,000			

Core Contract	1,150,000			
Interim Eval	85,000			
Eval + PSC 2nd Year	230,000			
PSC 1st year	22,502			
Cont Sel Team: US visit	10,233			
Subtotal	3,222,149			
SUBTOTAL		$12,887,612	100.0	71.6
Uncommitted		5,112,388		28.4
TOTAL		$18,000,000		100.0

APPENDIX 5 HRID ROLES AND RESPONSIBILITIES

	USAID/Malawi							AED	DPM&T	HRID WK.GP.	PCC	RECIPIENT ORGANIZ.
	OVERALL	OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP					
A. Overall Design/Policy												
1. Establish/periodically update EOPS/indicators	K	S	K	S	K	K		K	K	L	I	I
2. Establish/periodically update roles/ responsibilities of key players	K	I	K	S	K	K		K	K	L	S	I
3. Establish consensus on/periodically review project focus	K	S	K	S	K	K		K	K	L	K	
4. Set criteria for proposal review/solicitation	K		S	S	K	K		K	K	L		
B. Activity Design/Approval												
1. Solicit proposals								S		L	I	
2. Prepare proposals								K		S		L
3. Set up configuration of technical review commitee										L		
4. Carry out technical review	K		K	s1/	K	K		K	K	L		

Key: L = lead role; K = key actor; S = supporting role; I = information

	USAID/Malawi							AED	DPM&T	HRID WK.GP.	PCC	RECIPIENT ORGANIZ.
	OVERALL	OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP					
5. Write up minutes/conclusions of review								S		L		
6. Approve proposals											L	
7. Issue PILs providing AID concurrence for approved activities				L	S							
C. Procurement of Inputs												
Technical Assistance												
1. Prepare job description									K			L
2. Identify qualified candidates								L	K			K
3. Approve candidates									L	K		
4. Prepare scope of work and PIO/T				S	S			L				
5. Approve scope of work and PIOT/T	L	S	S	S	S							
6. Prepare Delivery Order					L	S						
7. Logistical arrangments for candidate before arrival in Malawi								L				K

	USAID/Malawi							AED	DPM&T	HRID WK.GP.	PCC RECIPIENT ORGANIZ.
	OVERALL	OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP				
8. Logistical arrangements for candidate in Malawi								L			K
9. Assist with in-country needs as they arise								L			L
10. Monitor performance while in Malawi								L		K	L
11. Evaluate performance of TA								L		K	L
<u>Participant Training</u>											
1. Identify qualified participant									S		L
2. Approve participants								K	K	L	
3. Prepare PIO/P based on approved training plan						S		L			
4. Approve PIO/P		L	S	S	S	S					
5. Prepare Delivery Order						L	S				
6. Pre-departure logistical arrangements						L		L			

KEY: L = lead role; K = key actor; S = supporting role; I = information

	USAID/Malawi							AED	DPM&T	HRID WK.GP.	PCC RECIPIENT ORGANIZ.
	OVERALL	OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP				
7. Monitor participants while in U.S.								L		I	
8. Main back-home contact with participants while they are in the U.S.								S			L
9. Assist in resolving trainee problems/needs as they arise (while in U.S.)								L		I	
10. Assist trainees with re-entry								L		I	
11. Evaluate effectiveness of U.S. experience upon trainee's return								S		L	L
12. Provide follow-up services for returned participants								S	S	S	L
Commodities 1/											

1/ To be filled in by AED

KEY: L = lead role; K = key actor; S = supporting role; I = information

	USAID/Malawi							AED	DPM&T	HRID WK.GP.	PCC RECIPIENT ORGANIZ.
	OVERALL	OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP				
D. Performance Monitoring of Approved Activities											
1. Establish procedures 1/			S	I	K			K	K	L	
2. Review grantee reports for quality, responsiveness, performance progress					S	S		L		I	
3. Conduct site visits on a regular basis					S	S		L		I	
4. Identify problems as they arise					S	S		L		I	
5. Bring resolution to problems					S	S		S		L	
6. Provide TA and organizational learning support to grantees on a regular basis as part of the capacity building purpose of the project					S	S		L	S		
7. Prepare PIRs					L	S					

1/ Includes preparing format for grantee reports; assisting grantees to put in place monitoring systems; establishing site visit procedures & formats for reporting.

KEY: L = lead role; K = key actor; S = supporting role; I = information

	USAID/Malawi						AED	DPM&T	HRID WK.GP.	PCC RECIPIENT ORGANIZ.
	OVERALL OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP				
E. On-going Evaluation										
1. Establish/periodically update evaluation design	I	S	I	K	K		K	K	L	I
2. Establish evaluation procedures	I	S	I	K	K		L	K	K	I
3. Teach grantees how to collect and report on data that they can collect internally							L			
4. Obtain additional technical assistance (qualified individual; firm) to carry out interviews, case studies, assessment				S			L		I	
5. Provide guidance/quality oversight to individual/ firm contracted to collect evaluation data				S			L		I	
6. Track data and provide to members of Working Group on a regular basis				S			L			

KEY: L = lead role; K = key role; S = supporting role; I = information

	USAID/Malawi						AED	DPM&T	HRID WK.GP.	PCC RECIPIENT ORGANIZ.
	OVERALL OFFICE MISS. DIR.	USDH PROJ. MGR.	PROJ/ PROG.	PROJ. ASST.	TRNG. OFF.	ADDL. HELP				
F. Other										
1. Donor coordination	S	S		S	S		S	L	S	K
2. Review vouchers for accuracy					L	S				
3. Approve vouchers		L								
4. Assure adherence to AID regulations		L	L	L	S					
5. Draw key AID actors in as needed to:										
a. Keep them up to date on project implementation				L	S					
b. Assist in resolving problems as they arise				L	S					
6. Amend the HRID Project Paper		S	S	L	S		L	L	L	

KEY: L = lead role; K = key role; S = supporting role;
I = information

APPENDIX 6 Approaches to Development Management and Projects

From Brinkerhoff and Ingle, Public Administration Development and Review, Vol. 9, pp487-503 (1989)

Table comparing blueprint, processing and structured flexibility approach to development management.

FEATURES	DEVELOPMENT MANAGEMENT APPROACHES		
	BLUEPRINT	PROCESS	STRUCTURED FLEXIBILITY
Operating premise	Optimal solution can be identified a priori by planners. Top-down.	Optimal solution can only be identified by beneficiaries during planning and implementation. Bottom-up.	Satisfactory solution can be postulated during planning and discovered during implementation by teams of planners and beneficiaries. Top-down and bottom-up.
Goals	Effective and efficient attainment of prestated goals and targets; solving discrete problems of interest.	Emphasis on being more; creating capacity to solve problems as they occur.	Combination of having more and being more; developing capacity to solve other problems by solving an immediate problem.
Perception of environment	Uncertainty is statistically describable; major events predictable. Components can be isolated; closed systems.	High levels of complexity and uncertainty, analytical tests inappropriate. Open systems.	Environment contains various types of uncertainty requiring different analyses during design and implementation. Various levels of predictability, multiple, overlapping systems.
Timeframe	Emphasis on short-term.	Emphasis on the long-term.	Emphasis on both short- and long-term; step by step.
Problem-solving orientation	Curative; problems can be detected by comparing actual and planned accomplishments; solutions are derived analytically.	Preventive: empowered beneficiaries can prevent problems via participation in design and implementation.	Preventive and curative: some problems can be avoided and others detected/resolved; joint use of analytical tools and human processes.
Dominant view of human behavior.	Mechanistic/economic. People will respond as rational profit-maximizers.	Social/psychological, values and informal arrangements affect participation and commitments.	Social/psychological plus politico-bureaucratic. People and organizations are affected by and affect formal/informal structures and processes.

Institutional bias.	Pro-bureaucracy: technicians and scientists know best.	Pro-people; communities and beneficiaries know best.	Pro-synergy; all participants have distinctive competencies.
Leadership	Formal leadership based on project organizational structure as pre-planned. Authority follows hierarchy.	Informal leadership evolves during design and implementation. Locally based authority.	Balance of formal and informal, situational authority. Leaders emerge depending on particular task requirements.
Management tools	Hard tools; budgets, schedules, networks developed a priori and used to control.	Soft social and group facilitation techniques; participation and process consultation.	Combined used of analytic tools and team process techniques situationally adapted.
Methods of learning	Audits and formal evaluations, quasi-experimental designs.	Process observation, value clarification, and case studies.	Combination of qualitative and quantitative research methods, case comparisons.

APPENDIX 7 Detailed Discussion of Project Management

1. BACKGROUND AND METHODOLOGY

The following steps were carried out in order to collect the information required to prepare this section of the HRID evaluation report:

- A thorough review was carried out of the contents of the HRID Project Paper focusing specifically on the administrative analysis, criteria for preparation of project activities, and any references in the PP and annexes to management, roles and responsibilities.

- The RFP for the HRID contract and the AED contract were reviewed in order to identify the specific roles the contractor was expected to be responsible for within the overall context of HRID implementation.

- A number of meetings were carried out with key project players. These meetings were deliberately kept broad in scope. Key actors were given an opportunity to voice their views and concerns regarding the project. In addition, general questions were asked pertaining to roles and responsibilities and management.

- Based on the outcome of the above, a checklist was prepared outlining the various roles and responsibilities under the HRID Project; both those that are currently being undertaken, formally or informally, as well as additional roles not currently being carried out that the HRID team believes need to be formally defined and assigned if the project is to be carried out successfully. This checklist included specific roles and responsibilities grouped under six categories: overall design/policy; activity design/approval; procurement of inputs (technical assistance, participant training, commodities); performance monitoring of approved activities; ongoing evaluation; and other.

- This checklist was given to several key project actors (the USAID/Malawi Deputy Director who is currently the HRID Project Manager, the USAID/Malawi HRID Project Assistant, and the AED Field Coordinator) to fill in under two scenarios: current status; future (from this point in time to the project's completion in 1995).

- Meetings were held with the individuals who filled in the checklists in order to go over the contents of their checklists. Following the meetings the checklists were reviewed against one another in order to identify areas of

agreement as well as areas where there were differences in views.

Finally, these checklists were compared with a checklist independently filled in by the HRID team in order to detect areas of agreement and areas of disagreement and a further meeting was held with these actors to discuss different perspectives and further fine-tune the checklist. A copy of the latest version of the checklist that emerged from that meeting is attached as Appendix 6.

2. FINDINGS

a. Roles and Responsibilities of Key Players

The HRID Project Paper gives only cursory consideration to the roles and responsibilities of the key project players. The PP administrative analysis (summarized on pages 63 and 64 of the PP) accords to DPM&T the key management oversight role. In addition to carrying out specific institutional strengthening tasks that specifically benefit DPM&T and the GOM in general (for example, producing a directory of management training programs; producing a training plan for the GOM and Department of Statutory Bodies) DPM&T is charged in the PP with: acting as the Secretariat to the Project Coordinating Committee; assisting Ministries and Statutory Bodies to plan proposals to obtain project support; and coordinating project implementation.

According to the PP (page 27) the contractor is to play a support role to DPM&T. Specifically the contractor is tasked with: assisting the Project Coordinating Committee and its subcommittees to plan and develop activities according to the proposal criteria and guidelines; recruiting and providing administrative and financial backstopping support services for short- and long-term technical assistance; placing, managing, and supporting all overseas participant training; assisting in-country institutions to organize and conduct in-country seminars, workshops, and other short-term training activities sponsored by the project; preparing detailed specifications for and procuring project commodities; and reporting to the GOM and USAID/Malawi on project implementation.

USAID/Malawi's role is the most broadly defined (page 26 of the PP). Specifically, USAID/Malawi is to: manage and control the allocation and disbursement of A.I.D.'s financial resources; through a U.S. contractor, handle major implementation actions jointly with DPM&T; and periodically conduct, in conjunction with the GOM, formative evaluations and a summative evaluation at the end of the project.

It is not clear from the PP exactly what is expected of DPM&T in

terms of "coordinating project implementation," what the contractor is to report on when they "report to GOM and USAID/Malawi on project implementation;" and what USAID/Malawi's specific role is when it comes to "through a U.S. contractor, handling major implementation actions jointly with DPM&T." Furthermore, there is no attempt in the PP to further define what the term "project implementation" means.

Two and a half years have evolved since the PP was approved and the ProAg signed with the GOM. During this time project implementation has proceeded, with the greater focus of attention of all parties given to reviewing and approving proposals. Thirty seven activities, totalling over $12 million have been approved and are in varying stages of implementation, with the first having initiated implementation in June of 1988, nearly two years ago.

An interesting and very positive development under the project is the formation of an HRID Working Group. This Working Group is composed of representation from the three key implementation actors: DPM&T, USAID/Malawi, and AED. The Working Group was formally constituted in June of 1989 and has been meeting on a weekly basis since January of this year. It is increasingly being used by the three parties as a forum for problem-solving and for making key decisions regarding the project. One concern about the full effectiveness of the Working Group is that the DPM&T representative is seldom able to attend. Instead he sends his representative, who communicates back to him. The lack of attendance by the original representative reflects, in part, conflicting demands on his time and some concern regarding relevance of the agenda at times.

Other than a document prepared in June of 1989, as part of a project refocusing exercise, which spells out roles and responsibilities of the PCC and AED/HRID Field Office (in this document the role of Secretariat to the PCC was transferred from DPM&T to the Field Office as was primary responsibility for assisting prospective grantees to develop proposals), there is no record of any attempt to formalize roles and responsibilities of the key actors.

Conversations with the key actors, increased understanding of the role of the Working Group, and a review of the filled in checklists, reveals a number of informal agreements on roles and responsibilities. Examples follow:

> The Working Group is increasingly taking the lead in the design and approval of project activities: in setting criteria for proposal review, soliciting proposals, and reviewing the proposals for technical adequacy/policy conformance. However, as noted above, the Working Group may

be taking on some activities related to A.I.D. documentation requirements that might be best dealt with in another forum.

- It is also clear that all parties are in agreement that the Field Office has the lead role in all actions relating to procurement of technical assistance, participant training, and commodities. In addition (per the June, 1989 agreement) the Field Office now serves as the Secretariat to the PCC, and with assisting prospective grantees to prepare proposals.

- It is generally understood among all parties that USAID/Malawi is responsible for all approvals of funding, contracting actions, and processing of vouchers. In addition, it is understood that one of USAID/Malawi's functions is to provide the HRID Field Office with quality control/oversight in the preparation of key procurement documents (e.g., PIO/Ts, PIO/Ps, PIO/Cs).

However, there are some areas where even these informal agreements differ or where the key parties have not yet had an opportunity to focus on tasks remaining to be carried out, much less responsibility for carrying out these tasks.

- One example is in the area of performance monitoring. Due to the heavy load occasioned by the preparation, review and approval of grantee proposals, little time has been given to agreeing on and putting in place systems for implementation monitoring.

- Similarly, much thought has been given to the project evaluation but little time has been put into implementation. While, not a major implementation burden, time must be spent thinking through and putting in place an evaluation monitoring system that all parties are thoroughly in agreement with.

It is apparent, and this seems to be acknowledged by all parties (including DPM&T), that DPM&T's limited staffing impacts its ability to "coordinate project implementation" in its literal sense (e.g., oversee all aspects of project implementation). Rather, DPM&T has needed to encourage the shifting of these responsibilities to the Field Office, with DPM&T playing a support/oversight role but not involved in day-to-day implementation. Key USAID actors remain undecided on whether this function should more appropriately reside within USAID or the Field Office.

Two observations are relevant in this context:

- The term "project implementation" covers a whole host of activities a number of which are still in the

process of being defined.

In addition to the already obvious roles related to overseeing the proposal process, including providing assistance in preparing proposals, reviewing proposals and assisting the PCC to make its final determination on which proposals are to be approved, project implementation includes: preparing and putting in place with each grantee a monitoring and reporting system so that the grantee can periodically (preferably at least every six months) report to the key project actors on progress in implementation against targets set out in their proposals; preparing and putting in place a plan for undertaking site visits on a regular basis; reviewing and critiquing reports from the grantees as they come in; carrying out the site visits and reporting on the results to the key actors; preparing for, overseeing and carrying out evaluation activities (whatever they might be), and detecting implementation problems as they arise and taking steps to assist the grantee to resolve these problems.

Taken together, these activities can be very time-consuming to carry out.

It is one thing to put in place an implementation monitoring plan for a project that has four or five components where the same actor or set of actors is responsible for implementing these components. It is quite another to put in place an implementation monitoring plan where there are 37 activities already in motion and a relatively wide variety of actors responsible for carrying out these activities. The task of going back to the grantees who have approved activities and assisting them with data collection and monitoring systems will be quite time-consuming, but will be essential.

There seems to be agreement among the key parties that HRID as a project is now at a critical juncture. During the first year of the project the major foci were meeting conditions precedent to initial disbursements, formation of the PCC and the specific Subcommittees, and getting the U.S. contractor on board. Activities during year two were centered primarily around reviewing and approving a large number of proposals from entities in the public sector, private sector, and parastatal sector and dealing with a number of problems occasioned by the inadvertent creation, even before the PP was approved, of high expectations for the project among potential Malawian recipients.

As the project moves into the second half of its third year of implementation it is becoming apparent to all parties that increased attention must be given to implementation monitoring and putting in place a project evaluation system that will permit the key actors as well as the grantees themselves to track progress. Given the number of approved activities in varying stages of implementation, this project, in its current form,

presents an implementation monitoring challenge, especially over the next two or three years.

It is also becoming increasingly apparent that thought needs to be given to specific responsibilities in these areas: what specifically will be the role of the Working Group; what direct role, if any, DPM&T will have given its staffing limitations; and where the Field Office and USAID/Malawi come in. Also apparent among USAID staff is the need within USAID/Malawi to assign specific responsibilities for different aspects of project oversight/implementation that fall directly to the Mission.

b. Day-to-Day Management Oversight

Other than indicating in a broad fashion that the Deputy Mission Director, USAID/Malawi will have principal management responsibility for the project with the assistance of the various Mission project officers (Program, Projects, Health and Population, Agriculture) and the Training Officer, the HRID Project Paper is silent on the topic of specific responsibilities for day-to-day management oversight within USAID/Malawi and the amount of time required of each individual/office charged with this oversight. Of particular concern is the lack of specificity regarding the amount of time it will require of the Deputy Mission Director who, in addition to being the HRID Project Manager, has a host of other overall Mission management responsibilities.

Also not addressed in the PP is how management oversight will be carried out within DPM&T, the entity charged in the PP with principal responsibility for "coordinating implementation" of the project. No specific roles and responsibilities are assigned DPM&T, no provisions are made for dealing with increased DPM&T staffing required to oversee project implementation, and perhaps of most concern nowhere in the PP is there an analysis of DPM&T's capability to assume the increased management burden implied by coordinating HRID Project implementation.

Indeed, the only place in the PP where there is some specificity on management and management time is in the section on the U.S. contractor which indicates that core contract funds will be set aside for two individuals who will work full-time on the project - a U.S. Field Coordinator recruited from the U.S. and a Malawian Field Officer who will serve as his Deputy.

As has been the case with roles and responsibilities, in the two and a half year interval since the PP was approved and the ProAg signed with the GOM, there has been an evolution in project management responsibilities and in the time required to manage the project on the part of AED and USAID/Malawi. This evolution is traced below.

The first, and most significant act to take place in the evolution of the HRID Project that has management implications for the project took place with the issuance of the Request For Proposal (RFP) for the U.S. contractor in the fall of 1987 and the award of the contract to AED in April of 1988. While the RFP is built around the training, technical assistance, and commodity procurement needs specified in the HRID PP, a clause was built into the RFP which permits any technical office in the Malawi Mission to access the contract for training, technical assistance and commodity procurement.

Since the contract was awarded to AED, a total of eleven Delivery Orders totalling $957,107 using funds from other Mission projects have been executed under the AED contract. Current plans call for obligating another $1.5 million in funds from the Promoting Health Intervention for Child Survival (PHICS) project within the next few months. While the contract provides illustrative minimum and maximum figures on level of efforts, there is language in the contract that would seem to permit amending the contract to exceed the maximum level of effort targets.

Two significant issues for implementation of the HRID Project are raised by the above:

- HRID staff, already overwhelmed with the increasing implementation responsibilities under the HRID Project, are finding a certain amount of their time diverted to handle immediate technical assistance and participant training processing needs coming from other Mission projects. The Field Coordinator, who currently handles all technical assistance requests under the contract, estimates that he is currently spending approximately 10% of his time dealing with non-HRID procurement. The Malawian Field Officer, who is responsible for processing all training requests, estimates that he is currently spending approximately 20% of his time on non-HRID training procurement. Both readily acknowledge that it is likely that the amount of time they will have to devote to non HRID procurement will increase over time, especially with the proposed PHICS buy-in of $1.5 million. Neither are able to gauge, between PHICS and other unknown buy-ins over the next few years for participant training, just how much more of their time will have to be devoted to non-HRID activities.

- Management time being spent by these two individuals on non-HRID buy-ins is not currently being charged to these buy-ins. Rather, HRID-financed core contract time is being used to attend to these buy-ins. While the amount of time (converted into HRID Project dollars) is not yet significant, the amount of time in HRID Project dollars is apt to increase over time, especially with the PHICS buy-in.

There has been a major shift, over time, in responsibility for implementation oversight under the HRID Project. DPM&T, not staffed to carry out the role originally assigned to it in the PP and ProAg, is passing to AED a variety of programmatic responsibilities (serving as Secretariat to the PCC; assisting grantees to develop proposals) that were not contemplated when the AED core contract was negotiated with USAID/Malawi nearly two years ago. Moreover, with the sudden and unexpected large number of delivery orders generated under the project in the first year of the AED contract (both HRID and non-HRID), the Field Office has found itself deluged with paper work and other activities required to get delivery orders prepared and approved by USAID/Malawi.

Backstopping long-term technical assistance, contemplated in both the PP and the contract, is beginning to become more time-consuming and the management load is bound to increase as the number of OPEX advisors in Malawi increases from its current level of 5 to approximately 14 by the end of this year and 17 in 1991 and 1992 (including HRID and non-HRID for which the Field Office provides support). Also taking more time than was anticipated is processing vouchers from the grantees where the Field Office is responsible for reimbursing in-country expenses.

In a word, the Field Office staff admit to being overwhelmed with paperwork and emergencies. There is little time to sit back and take into account the big picture much less attend to the myriad implementation details occasioned by non-HRID buy-ins and the increased HRID load. A key concern of the Field Coordinator is putting in place evaluation and monitoring systems for ongoing activities and turning to the critical task of making sure that grantees are on track in terms of implementing their projects within the overall organizational development philosophy of the project.

A similar phenomenon has occurred within the Malawi Mission. The PP assumed that, with key responsibility for implementation oversight vested with DPM&T with assistance from U.S. contractor, Mission backstopping for the project would be minimal and could be carried out on a part-time basis by the Assistant Mission Director with assistance from other offices.

This has turned out not to be the case. The large volume of delivery orders and new grants under the project since the AED contract was signed, coupled with unexpected problems occasioned by having a widely publicized project, the realization that DPM&T is not prepared to take the lead implementation oversight role, dealing with differing Mission interpretations of what the HRID Project is to accomplish, and added to this additional time to process non-HRID buy-ins, have together put an enormous strain on USAID project management capability.

To cope with this, the Mission has taken two actions over the course of the last year:

- The Mission Training Officer has been progressively spending more and more time backstopping the participant training aspects under the project. This individual currently spends approximately 50% of her time finalizing PIO/Ps and increasingly assisting in processing delivery orders for TA and commodities and reviewing vouchers.

- In addition, the Mission has contracted, with HRID funds, a USDH spouse who works half-time as Project Assistant. This person is currently responsible for preparing A.I.D. internal documentations (Semi-Annual Reports, Project Implementation Letters, financial plans, PIOs, Delivery Orders, administrative approvals, review of vouchers). In addition, with the Project Manager, she is increasingly getting involved in shaping proposals that come in as well as increasingly dealing with implementation issues.

Between now and the end of the project in 1995 more efficiencies will be needed in order to implement the HRID Pproject on the part of both USAID/Malawi and the Field Office. (It is unclear at this point in time exactly what role DPM&T will play in terms of day-to-day implementation and what management implications this would have for DPM&T.) Systems need to be clarified and put in place, backstopping of technical assistance and training will increase as the numbers in both areas increase, and implementation monitoring will consume a significant amount of time, especially if it is to be quality monitoring. Since a decision has not yet been made on' future project focus (e.g. ways in which remaining project funds will be applied) it is difficult at this point to comment on the impact that these new efforts will have on management time.

USAID/Malawi, with the impending departure of the Deputy Mission Director, faces yet another management challenge: finding some way to fill in the gap left by this person and at the same time train two capable individuals who are currently on part-time status under the project in the ins and outs of A.I.D. project management.

With regard to the latter, one option currently under discussion in the mission is, once the Deputy Mission Director leaves in April, moving the PSC who is currently serving as the Project Assistant into some of the general policy oversight roles currently assumed by the Deputy Mission Director with the new Deputy Director assuming the official role of Project Manager. Also under discussion is the possibility ofincreasing the FSN Training Officer's role and responsibilities under the HRID Project.

Both individuals admit to currently being overwhelmed with the myriad responsibilities. The PSC is concerned about time to handle duties of the departing Project Manager and the need for orientation to new and unfamiliar tasks.

It would appear, even with a maintenance of the status quo (e.g., no new delivery orders, nothing more done to monitor project implementation than what is currently being done), that these two individuals would benefit from role review, training, assistance in defining and assigning priority to tasks, and advice on achieving efficiencies in project administration.

3. RECOMMENDATIONS

a. Roles and Responsibilities of Key Actors

- It is very important that all key actors (including internal actors within USAID/Malawi) sit down together as soon as possible to agree upon specific roles and responsibilities under the project. It is particularly important that the members of the Working Group reach agreement on what exactly should be within the domain of the Working Group. It is also very important that consensus be reached as soon as possible on the specific roles and responsibilities of the various internal USAID/Malawi actors (e.g., the new Deputy Director, the HRID Project Assistant, the Training Officer, the Program Office, and the Project Development Office.)

  Once agreed to, this list of roles and responsibilities should be formalized, preferably through the issuance of a Project Implementation Letter or, if the decision is taken to amend the project, through a Project Paper Amendment. A preliminary list of roles and responsibilities of key actors that can be used as a point of departure reaching agreement on the above may be found in Appendix 6.

- As part of this exercise, and as soon as possible, the various parties involved in the project need to decide where responsibility for oversight of evaluation activities and for implementation monitoring should be vested. At present it does not appear that DPM&T is staffed to take on these roles (although DPM&T may be very interested in being an active participant in the evaluation effort given interest in acquiring evaluation skills). This leaves either USAID/Malawi or the Field Office as the entity charged with evaluation oversight and implementation monitoring.

- With the assignation of responsibility for evaluation and implementation monitoring, systems for carrying out this evaluation and monitoring need to be put in place and agreed upon by all parties. This should also take place as

soon as possible. While a bit time-consuming it is critical that all key parties be involved/invested in setting up these systems in order to assure agreement/ownership of the systems once they are put in place.

- Finally, in order for these roles and responsibilities as well as systems to be effective and operational, they should be formally revisited and, as appropriate, revised periodically during the life of the project. If there are significant changes in roles and responsibilities, these also should be formalized.

b. Management Oversight

- Once the decision is taken on where to vest primary responsibility for evaluation oversight and implementation monitoring, appropriate steps need to be taken to adjust the staff assignment to carry out these activities. This is not an insignificant set of steps: quality monitoring systems that permit the actors to constantly learn from experience as well as build within the grantees their own capacity to monitor their progress in project implementation takes time. The amount of staff timing required to do these activities "right" should not be underestimated.

- Provisions need to be made to assess costs associated with management assignments and to finance any new costs identified. In the case of the Field Office, a modification to the core contract may be in order which would permit an increase in funding for Field Staff and which would add new field responsibilities in the programmatic areas which were not contemplated when the AED contract was signed nearly two years ago. Another option, if needs are evident, may be to consider a special delivery order to cover increased Field Office staffing needs.

Listed below, for illustrative purposes, are possible adjustments in staffing, both within the Field Office and USAID/Malawi under two scenarios: (A) USAID/Malawi takes the lead role in oversight of evaluation activities and in implementation monitoring; and (B) the Field Office takes the lead role in oversight of evaluation activities and implementation monitoring.

SCENARIO A: USAID/MALAWI TAKES THE LEAD ROLE IN OVERSIGHT OF EVALUATION ACTIVITIES AND IMPLEMENTATION MONITORING

USAID/Malawi currently has three staff members who are directly involved in oversight of the HRID Project: the Deputy Mission Director who spends approximately 30% of his time on the project, the Project Assistant who works half-time only, and the Training Officer who now devotes approximately 50% of her time to HRID

matters. While the outgoing Deputy Mission Director will be replaced by an incoming Deputy Director who will be designated as the HRID Project Manager (at least until the arrival of a new US Direct Hire Human Resources Development Officer in approximately nine months), it is not clear how much time this individual will have at the beginning to devote to HRID. Also not clear is the nature of the role that this person will assume vis a vis HRID.

Taking into account the impending departure of the Deputy Mission Director and assuming that USAID/Malawi takes on responsibility for evaluation oversight and implementation monitoring, it is the Evaluation Team's judgement that some of the following staffing adjustments may need to be considered:

- Ideally a project funded PSC should be hired full-time to assume many of the susbstantive functions of the departing Deputy Mission Director and to oversee the greatly expanded evaluation and implementation monitoring responsibilities occasioned by this scenario. This person should ideally have extensive knowledge of A.I.D. procedures (preferably he/she would be a recently retired A.I.D. General Development Officer or Human Resources Development Officer) In addition to assuming the roles listed above, this person would be charged with training both the HRID Project Assistant and the Training Officer to assume increased project management responsibilities. Depending on the decision taken on future project focus (and assuming the arrival within nine months of a USDH Human Resources Development Officer to whom this person would presumably report), the time frame for the services of this individual could be shortened (e.g. his/her services may not be required through to the end of the project in 1995).

- The half-time HRID Project Assistant might increase her level of responsibility under HRID. She should ideally become involved in "big picture" activities (including planning future project directions and putting evaluation and implementation monitoring systems in place) as well as providing support in the area of implementation monitoring.

- The Training Officer, who currently works part-time on HRID, could devote 100% of her time to the project. This individual - in addition to attending to matters related to participant training - would become increasingly involved in matters relating to internal project documentation and implementation monitoring. Like the Project Assistant, she would benefit from on-the-job training to prepare her to eventually take over a key project role, including possibly management of the HRID Project or another Mission project.

- A local hire may be considered. This individual would

assist with the review of vouchers and in the preparation of delivery orders; review grantee reports for accuracy and for progress in accomplishing targets; and conduct periodic field visits to grantee sites and prepare reports on field visits.

AED currently has four staff in its Lilongwe Field Office all of whom work on a full-time basis: a U.S. Field Coordinator who heads the office, a Malawian Field Officer who serves as Deputy, an administrative assistant, and a secretary.

Even if the Field Office does not pick up implementation monitoring responsibility, its platter is currently full. Given non-HRID as well as HRID responsibilities (both of which are expected to increase over the next year or two), the Field Office may need the additional services of one full-time Malawian professional to assist with paperwork and accounting. In addition, given increased backstop responsibilities in the U.S. occasioned by non-HRID buy-ins, the time spent by the HRID backstop person in AED in Washington should be reviewed

SCENARIO B: AED TAKES THE LEAD ROLE IN OVERSEEING EVALUATION AND IMPLEMENTATION MONITORING

Under this scenario, USAID/Malawi would not have the increase in management responsibilities sketched out under Scenario A. However, with the general implementation overload that currently exists, combined with the departure of the Deputy Mission Director, additional staffing may be needed.

- The half-time Project Assistant (who cannot move into full-time employment for personal reasons) would remain half-time. With the departure of the Deputy Mission Director she could take the day-to-day lead on HRID reporting initially to the new Deputy Director and subsequently, upon his/her arrival in Malawi, to the Chief of the Human Resources Development Office. With this change in role, this individual would need to delegate much of the internal paper processing she is currently doing and focus more on the "big picture" activities, including spending more time cultivating relationships with key DPM&T and other GOM actors. She could also assume increased responsibility for internal USAID HRID management and for liaising with Senior Mission management and other Mission offices. Ideally this person should attend the A.I.D. Project Implementation workshop to be held in Nairobi in the Fall of 1990.

- As was the case in Scenario A, the Training Officer would move to devoting her time fully to HRID and, along with it,

she would increase her responsibilities.

SCENARIO C: ACADEMY FOR EDUCATIONAL DEVELOPMENT/ FIELD OFFICE

Under this Scenario the Field Office's management load would need to be carefully reassessed. Further thought needs to be given to the ideal staff configuration. It would seem appropriate to consider the addition of staff especially if one important aspect of implementation monitoring is assisting grantees to put in place their own monitoring systems as well as working with grantees, on an individualized basis, to assure maximum effectiveness from their projects through adherence to the institution building philosophy of the project.

Assistance may be obtained to provide reception services, participant training pre-departure documentation which currently take up a relatively large amount of the Field Officer's time, and bookkeeping at the clerical/administrative level.

With assistance on board, the Field Coordinator and his Deputy would be freed up to spend more time focusing on the "big picture." In addition, and equally important, these two individuals could increasingly devote their efforts to working with existing grantees to assist them to internalize HRID's organizational approach to training. Organizations that are sending participants out of the country for training would be given assistance in determining the best way to use the participant, upon his/her return, to further the organization's performance. In addition, these individuals would be responsible for reviewing grantee reports for quality and completeness, for carrying out periodic site visits and documenting them, keeping DPM&T informed on implementation progress, and alerting USAID and DPM&T to implementation problems as they arise. As with the PSC Project Assistant, it would be important for the AED Field Coordinator or Field Officer to attend the project Implementation course in Nairobi this coming Fall.

c. Other Recommendations Related to Implementation

Close review should be given to the increased management load to AED implied by non-HRID buy-ins and to the source of funding for core cost time used to process and backstop these buy-ins. At a minimum, additional core contract time should be factored in to handle non-HRID buy-ins. In addition, arrangements should be made to charge core management time devoted to non-HRID activities to the respective projects under which they are financed rather than HRID. The Mission may reconsider the appropriateness/need to use the AED contract for all Mission participant training over the coming years given that there are other vehicles through the Office of International

Training for this purpose.

- In order to facilitate future financial tracking and to ease the burden on any future grantees that have no prior A.I.D. experience, prior to formally approving new activities with entities with whom USAID/Malawi has no prior experience, the USAID/Malawi Controller's Office should visit the prospective grantee in order to make sure that the grantee has in place financial tracking systems that meet A.I.D.'s needs. If they don't, provisions should be made, either through the Controllers Office or through a contract with a local accounting firm, to assist the grantee to put these systems into place.

- All agreements currently in place under the project are based on proposals submitted by the grantee, reviewed and approved by the PCC, and officially concurred to by USAID/Malawi through Project Implementation Letters with the GOM. There is no formal written and signed commitment on the part of the grantee to assume the increased financial or other commitments implied by their taking on the grant. USAID/Malawi and the GOM should explore options for formalizing this commitment in writing. One possibility would be a memorandum of understanding between the grantee and USAID/Malawi which lists the commitments that the grantee agrees to incur upon receipt of project funds, both during and after the life of the project. While it is recommended that this approach be used for future commitments of funds, USAID/Malawi and the GOM may consider the pros and cons of instituting memoranda of understanding for grants already approved where an appreciable amount of funding has been committed and/or the grantee has made a number of key counterpart commitments in its proposal which have funding implications.

APPENDIX 8 Detailed Description of Project Activities

DETAILED DESCRIPTION of PROJECT ACTIVITIES
BASED on OBJECTIVES, EOPS and INDICATORS

This Appendix contains the detailed description and analysis of project activities, based on progress being made towards objectives. Each objective has one or more end-of-project status statements (EOPS) which evaluators and managers will be able to use as a target for project activities. Each EOPS has a number of indicators by which progress toward end-of-project status can be measured. Some of these indicators require the establishment of baseline data; others rely on qualitative indications of progress. Early indicators may be different than final indicators in some instances.

In the following narrative the general format is as follows:

1. Objective
2. EOPS Statement
3. Brief Historical Perspective for the Objective and EOPS
4. Identification of Indicators and Their Rationale
5. Measurement of Indicators
6. Early Indicators and Current Project Activity
7. Conclusions
8. Next Steps

1.1 Objective 1: Strengthening the existing post-secondary training institutions

1.2. EOPS 1.1: An increase in the capacity of post-secondary training institutions to meet some of the country's essential training requirements.

1.3. Historical Perspective:

A primary purpose of the HRID Project is to strengthen, broaden and improve the efficiency of Malawi's post-secondary degree and non-degree training institutional capacity to supply trained human resources in areas critical to national development. Under the project priority consideration among training institutions is given to the University of Malawi, the sole degree granting authority in the country. Additionally, programs at non-degree training institutions that play an important role in expanding the skilled human resources base are targeted for strengthening.

Since independence in 1964, at which time there was a virtual void in post-secondary training capacity, Malawi has created a network of training institutions to meet its skilled manpower requirements. The principal vehicles established are the University of Malawi system, comprised of four constituent

colleges, and a host of institutions with specialized techinal and professional training missions. The existing institutional training capacity has been able to address the nation's most basic training needs. Increasingly, however, systemic inadequacies due to limited instructional staff and growing demand for more specialized types of training are becoming pronounced.

The strengthening of training institutional capacity has been a consistent theme of the project from the initial design stage through the 1989 HRID Project revisions. While the underlying thrust of this project component has remained constant, there have been changes over time in the breadth of the scope of the institutional training capacity objective and recommended strategies.

The original objective, as stated in the HRID Project Paper, was the creation of "a strong, flexible and efficient training institutional capacity." The strategies offered were:

> Current faculty members of post-secondary training institutions will receive degree and non-degree training.
>
> Pairing training institutions in Malawi and the United States for the purpose of establishing long-term institutional relationships.
>
> Assist post-secondary institutions to develop and implement remedial courses in science and mathematics.

The internal project refocusing exercise of June 1989 resulted in a reaffirmation of the importance of an enhanced institutuional training capacity and a more narrowly defined goal. The revised objective is to "strengthen the existing post-secondary education institutions." The proviso was added that "advanced degree training will only be supported under this objective for faculty and graduate students returning to teach at the University of Malawi." The targeted programs are agricultural education, economics, engineering, accountancy, commerce/business, education administration and nursing.

The record will show and interviews have confirmed that the HRID Project is fully committed to the expansion of training institutional capacity. To date, the post-secondary training institution activities constitute the greatest percentage of funded proposals. The University generally, and Faculties at Chancellor College in particular, were expedient in responding to opportunities offered by the HRID Project. A review of the proposals submitted from all sectors indicate that those from the University were among the best formulated. The prominence of the University in the receipt of funded activities is an expected consequence.

1.4. End of Project Indicators and Rationale

At the end of the project, evaluators should expect to find:

> An increase in the capacity of post-secondary training institutions to meet some of the country's essential training requirements.

The indicators that would convey the successful achievement of the desired end of project status outcome are:

> A decrease in overseas training in those areas where HRID has supported capacity building;
>
> An increase in the number of people receiving training in the programs supported by HRID;
> A decrease in reliance on expatriates to instruct in the targeted training programs;
>
> An increase in trained Malawian instructors in programs supported by HRID;
>
> Local resources are supporting training programs established under HRID.

The first four indicators are closely aligned with the intent of the original design and the refocused project. They serve as guidelines for goal attainment. The fifth indicator, although not explicitly stated, is clearly implied by the project's strongly expressed interest in program sustainability. Evidence of this position appears in all key project documents.

1.5. Early Indicators and Related Evidence

The review of documentary data sources to ascertain the progress being made toward the achievement of indicators has been exhaustive. This process has been supplemented with interviews of all representative groups, including academic and administrative University personnel and the technical advisors supported by HRID.

Proposals from the University of Malawi have been approved in the following areas:

Chancellor College

> Faculty of Economics: A Masters Degree program in economics, with a transportation option
>
> Faculty of Sociology: A graduate level concentration in the Sociology of Women in Development

Bunda College

Faculty of Agriculture: A multifaceted faculty strengthening program

Polytechnic

Management Center: A Masters in Business Administration

Kamuzu School of Nursing

Analyses of these data follow:

Indicator 1: A decrease in overseas training in targeted areas. The only funded activity that will affect the level of overseas training in a given discipline is the establishment of a Masters of Economics program with a transportation economics option. Currently, all advanced degree and post-graduate level training in economics is obtained outside of the country. This new University program will address a critical gap in the nation's training portfolio. It will reduce the number of potential candidates for overseas study by the number that enroll throughout the life of the program. Hence, a reduction in the high costs of training abroad is realized, and the drain on foreign exchange for training is lessened.
The proposal for the creation of an MBA program at the Polytechnic has implications for overseas training requirements. This proposal was approved by the PCC in 1988, but has subsequently been put on hold pending the submission of additional justification data. If funded at a later point in time, it will potentially result in a substantial reduction in numbers since all MBA studies are presently pursued abroad.

Indicator 2: An increase in the number of people receiving training in the selected programs. The two activities that will have a direct impact on the numbers of persons studying under programs funded by the HRID Project are the graduate program in economics cited above, and the new graduate program in the Sociology of Women in Development. Since both programs are new the increase in students studying in these areas will be in direct proportion to number of enrollees.

Indicator 3: A decrease in reliance on expatriates to instruct in targeted programs. This indicator may be unique in that in the short run the implementation of project activities will actually increase the number of expatriates in targeted areas. Such an occurrence is due to the fact that expatriate technical advisors are brought in to assist in the development of new programs and to provide instruction. One is already in place in the Faculty of Sociology. In the upcoming academic year, a technical advisor is expected to join the economics program at

Chancellor and two in the Faculty of Agriculture at Bunda College. The long-term plan is that each advisor will be replaced by a Malawian instructor upon the completion of their degree studies in the United States in the targeted areas. The temporary anomaly should be favorably resolved in time.

Indicator 4: An increase in trained Malawian instructors in programs supported by HRID. At this point in time there are two Chancellor College faculty members pursuing graduate degree studies in the United states in targeted areas. They should be joined by two from Bunda College in the fall semester.

Indicator 5: Local resources are supporting training programs established under HRID. None of the post-secondary training proposals funded thus far address the issue of financial sustainability after the culmination of project support. Since this is a matter of vital importance to the realization of the objective of strengthening post-secondary training institutions it will need to be given special attention as the activities unfold.

1.6. Conclusions

The University of Malawi is the main vehicle through which national goals and aspirations are translated into policies and concrete development programs. Its inherent institutional training capabilities determine to a large extent whether or not the nation's human resources requirements can be met. There appears to be strong consensus among all key parties of the HRID Project that the prominent support being given to the strengthening of post-secondary training institutions, and in particular the University of Malawi, is appropriate and should be continued.

The University to its credit and reflective of its expected leadership role initiated a flurry of activities in response to HRID's invitation for project support and participation. Various units within the University system succeeded in securing funding for a number of its proposals. Presently, these activities are generally well on track toward achieving end of project status outcomes. Targeted programs in economics, agriculture and the sociology of women and development have all been sanctioned by the University, technical assistance has been installed or is being identified, curricula are being developed and strengthened, students recruited and program validity and marketability tested in different fora. Futhermore and of major consequence for strengthening training institutional capacity, Malawians have commenced post-graduate degree training in the targeted areas.

Although it was previously stated that the issue of programmatic sustainability was not directly addressed in proposal documents it may be inferred that it will be possible for the University to

continue those activities that are primarily dependent upon instructors already holding established positions in the targeted areas such as economics and agriculture. The one exception is the new women in development graduate program. There remain many unanswered questions about the University's commitment to sustain this activity.

1.7. Next Steps

Chancellor College, Sociology of Women in Development Program. The University should be requested to develop an action plan that assures program sustainability and fully incorporates course offerings in department's long-term strategic plan.

Chancellor College, Faculty of Economics. The recruitment of a technical advisor for the economics program should be expedited. Time is of the essence. In order to fully install and operationalize the new graduate program, and provide for an overlap transition period with the Malawian returnee, it is crucial that an advisor arrive in country soon.

Bunda College, Faculty of Agriculture. In its present form the support to Bunda College is nothing more than the provision of funds for post-graduate scholarships and equipment. The project should immediately assist the College to develop a plan of action that will enable the two technical advisors, scheduled to arrive this calendar year, to engage in activities that will contribute to strengthening the institution's training capacity rather than simply assume teaching reponsibilities of professors on study leave. The magnitude of the investment which is in excess of one million dollars requires no less.

Polytechnic. A thorough examination was made of the proposal for the creation of a Masters Degree program in business administration. The findings graphically highlight the fact that many fundamental questions remain unanswered in regards to market demand, program content, sustainability, and internal support systems. Additionally, it is apparent that insufficient consideration has been given to the exploration of options for meeting post-graduate training through means other than a traditional MBA program, and to the assessment of funding possibilities available in the donor community and the private sector at large.

The establishment of a credible advanced professional degree program in business administration that meets international training standards would require an enormous amount of money for start-up and a continuous flow of funds for a protracted number of years. Because of the competition for the limited resources remaining in the project from already funded activities of merit, and the issues cited above, the MBA program may not be a viable project option. The financial requirements of such an endeavor

far exceeds the funds available under HRID.

2.1 Objective 1: Strengthening the existing post-secondary training institutions

2.2 EOPS 1.2: A greater market orientation among post-secondary training institutions.

From the outset of the HRID Project there has been a general recognition of the merit in devising training programs that are market orientated and responsive to changes in demand requirements. It was determined at an early stage that post-secondary training institutions lacked adequate curricula and relevant materials to impart the more specialized knowledge and skills being requested. This heightened sense of awareness for the need to utilize practical and experiential training methodologies serves as a framework within which activities to support inservice training capacity are being developed.

2.3 End of Project Indicators

The following indicators have been devised to confirm that the end of project status outcome has been successfully achieved:

Employers of graduates of HRID-supported programs report satisfaction with graduates (relevant content, adequate skills, entry level readiness);

Specialization as opposed to general education in the programs of training institutions have increased;

The results of the University of Malawi Tracer Study are used to refine and develop programs;

More career emphasis exists within academic programs including conversion courses or other efforts to make programs responsive to employer needs;

An outreach function is institutionalized in participating training organizations.

All indicators reflect the spirit of the project design and provide strategies for accomplishing the stated outcome. Collectively they form a solid base for the creation of activities that translate the articulated awareness of post-secondary educators for greater programmatic responsiveness to the practical knowledge and skills requirements of employers cross-sectorally.

2.4. Early Indicators of Progress and Related Evidence

The data utilized in the assessment of progress underway toward

the attainment of the desired indicators were derived from:

Proposals and other documents submitted by post-secondary training institutions;

Interviews with pertinent trainers, field office staff, USAID officials and HRID technical advisors.

Indicator 1: Employers of graduates of HRID-supported programs report satisfaction with graduates. This particular indicator will ultimately be one of the key tests for verifying the success of the end of project status outcome. Since none of the programs in this category have graduated participants or completed their stipulated missions, measurement of effectiveness will have to wait for more advanced stages of program development to elapse.

Some of the main activities sponsored by HRID that incorporate a market orientation are:

Conversion Program. A one year post-graduate certificate program in accountancy and marketing offered jointly by the Malawi College of Accountancy and the Department of Business Studies, Chancellor College.

A Masters Degree program in the Sociology of Women In Development, Sociology Department, Chancellor College.

Masters of Economics, with Transport Economics option, Economics Department, Chancellor College.

Tracer Study. A survey of former University graduates and employers to determine curricula, training and performance satisfaction.

There is no evidence in the proposals for these activities that suggest that prospective employing organization representatives provided direct input into their design, but the documents are illustrative of varying levels of astuteness in reference to the importance of being responsive to consumer interests. Efforts worth noting are also underway to actively involve end-users in the implementation of activities.

Indicator 2: An increase in specialization as opposed to general education in the programs of training institutions. As a result of HRID, post-secondary training institutions should systematically review curricula and training programs to keep abreast of expanding demand for specialized training. Two of the activities initiated under HRID and obviously market-driven are the conversion program and the Masters in Economics. In the former, the intent is to train liberal arts graduates as professional accountants and marketing specialists. In the

latter, advanced training in transport economics will be offered to address critically identified needs in the national economy.

Indicator 3: The results of the University of Malawi Tracer Study are used to refine and develop programs. The final results of the tracer study have not yet been officially released. Analyses of data are in process. A comprehensive report of findings is being finalized with a target release date of September 1990. In the interim, Colleges and individual Faculties have been given access to preliminary results and appear to appreciate the potential usefulness. There is ample evidence that came to the fore during interviews that confirm the presence of a keen interest in study findings, and that highlight efforts already underway to adapt and strengthen existing programs.

Indicator 4: More career emphasis within academic programs including conversion courses or other efforts to make programs responsive to employer needs. As stated above, a conversion program has been developed to provide professional training in accountancy and marketing. This program, scheduled to commence in the upcoming academic year (October 1990), is specifically designed to address everpresent and dire shortage of accountants, and the increasing difficulty of liberal arts graduates to secure appropriate employment.

The Women In Development Masters program offers another illustration. It is designed to impart planning and management skills requisite for social policy and analysis and program planning with reference to women in development, an area that is attaining heightened importance in national development fora. A complimentary activity is the Registrar for Women's Programs at the University. This new post, initiated with HRID funds, is designed to promote the participation of women in non-traditional fields, thereby contributing broadly to the overall development goal of a greater utilization of women.

The HRID Project supported institutional training activities in transport economics and agricultural education have market orientation elements incorporated and should be strongly encouraged to continue the trend toward further specialization and market responsiveness.

Indicator 5: An outreach function is institutionalized in participating training organizations. No mechanism is currently in place to accomplish this indicator. Discussions have commenced at various institutions in reference to increasing outreach activities, but more directed and concerted actions will have to be taken to institutionalize this function across the board.

2.5. Conclusions

In the early stages of project implementation the dominant impression has been a high degree of awareness among trainers of the necessity to keep abreast of changes in the external environment. The primary task ahead is the development of mechanisms to institutionalize outreach functions; and facilitate the solicitation and assimilation of market information in curricula and training.

2.6. Next Steps

In order to maintain a market orientation (for all activities referenced above), it is essential that the HRID Field Office devise ways to assist each organization to develop instruments capable of supporting institutionalized monitoring and evaluation systems that facilitate ongoing contact with employers and accommodates the input, utilization and feedback of critical marketplace data.

Concurrently and throughout the duration of the project, activities should be subjected to continuous assessment, to the evaluation of the market viability of training programs and the ready employability of program graduates.

3.1. Objective 1: Strengthening the existing post-secondary training institutions

3.2. EOPS 1.3: An increase in the capacity of organizations to meet inservice training requirements.

3.3. Historical Perspective.

Since inception it has been envisaged that activities which foster the strengthening of in-service training capabilities of post-secondary training institutions and other relevant organizations would be vigorously encouraged and supported. This position evolved in response to critical data accumulated by pre-project surveys. Some of the outstanding issues enumerated are the limitations faced by training institutions in servicing continuing education and specialized training audiences, in meeting the growing demand for in-service training generally and in upgrading skills and performance of employed persons. The Project Paper proffers that the historical factors that have contributed to the development of this state of affairs are inadequate resources, shortages of appropriate instructional materials, and the lack of availability of lecturers accustomed to on-the-job practical teaching techniques. The Project design team further states that "employers in all sectors lack confidence in the ability of training institutions to provide advanced programs, and for this and other reasons, continue to rely on overseas institutions." It is toward this end that an

original HRID objective was developed to:

> "increase and improve the capacity of the trained and experienced Malawian professional and technical employees in the critical development Ministries."

Subsequent to an internal redefinition of the project to afford greater concentration in areas accorded priority status, the Project Coordinating Committee (PCC) approved a narrowed focus for in-service training. The new relevant objective is intended to:

> "increase public sector planning, financial management and management systems capacities in critical development Ministries."

Emphasis is on inservice training, highly specialized degree and non-degree courses in planning and financial management skills development.

3.4. End of Project Indicators and Rationale

An evaluation at the culmination of the project will be able to conclude that the desired expansion in in-service training capacity has been achieved if the indicators listed below are confirmed:

- A decrease in overseas training has occurred in those areas where HRID has supported capacity building;
- An increase in the number of people being trained in the programs developed under HRID;
- A decrease in reliance on expatriates to instruct in the training programs developed under HRID;
- An increase in trained Malawian instructors in the programs developed under HRID;
- An increase in the number of new programs targeted to in-service personnel not previously offered in Malawi;
- Local resources are supporting the training programs established under HRID;
- Employers of graduates of HRID-supported programs report satisfaction (relevant content, adequate skills, entry level readiness) with graduates;

External evaluators rate the training as satisfactory according to standards established by the trainers. The first five

indicators respond directly to the project's intent to address some of Malawi's essential in-service training needs by strengthening inservice training capacity and decreasing reliance on expatriates and overseas training in targeted areas. The remaining three indicators exceed the explicitly stated objectives of the project design but are deemed as essential to the sustainability of programs after HRID.

3.5. Early Indicators of Progress and Related Evidence.

The activities approved to date that are designed to expand in-service training capacity are to be found in public, private and parastatal organizations. They include:

UCE/MED
Electricity Supply Commission of Malawi (ESCOM)
Development of Malawian Traders Trust (DEMATT)
Malawi Union of Savings and Credit Cooperatives (MUSCCO)
Ministry of Local Government
Ministry of Works and Supplies

Indicator 1: A decrease in overseas training those areas where HRID has supported capacity building. One of the motivational factors that underpins the training components of all approved in-service training capacity building activities is an interest in reducing the need for overseas training. This expectation, although not specified in the proposals, is evident in the formulation of objectives and strategies. Presently, baseline data is not available to permit an assessment of impact, potential or realized. Once monitoring systems are installed the numbers of persons trained in the targeted areas should be closely tracked.

Indicator 2: An increase in the number of people being trained in the programs developed under HRID. Overall there are strong indications that the numbers of persons being trained in targeted areas have risen in the private sector by the current number of program enrollees. The phasing out of private sector activities when READI II comes on line will have the affect of causing a decline in specific areas of training, whereas the in-service category overall will experience a major increase in the aggregate numbers of persons being trained once full implementation is in process for the Ministry of Local Government.

Indicator 3: A decrease in the reliance on expatriates to instruct in the training programs developed under HRID. All in-service training activities have a technical assistance component. Among the responsibilities described in individual project proposals and supporting documents is the requirement that Malawian counterparts be identified and trained. Early indications are that systems have been put in place in private

enterprise firms to facilitate the transfer of training knowledge and skills. Further assessments will be required at more advanced program development stages. It is also crucial that particular care be taken to address this matter early in the implementation process for Ministry of Local Government activities. Special efforts should be made to institutionalize local government management training capabilities in domestic training organizations such as the Staff Training College and Malawi Institute of Management.

Indicator 4: An increase in trained Malawian instructors in the programs developed under HRID. As discussed above, the transfer of specialized training skills to Malawians will be a critical variable in the evaluation of the extent to which HRID has been successful in contributing to the expansion of in-service training capacity. All relevant activities should be scrutinized to this effect. Concurrently, systematic training plans must become fully operationalized.

Indicator 5: An increase in the number of programs targeted to in-service personnel not previously offered in Malawi. As a result of HRID, a formalized training program for switchgear operators has been established in Malawi with significant ramifications for the delivery of essential public services. The MED, DEMATT, MUSCCO and Ministry of Local Government programs all contain elements of training not previously offered locally.

Indicator 6: Local resources are supporting the training programs established under HRID. The issues of future local resource application and the sustainability of in-service programs need to be examined carefully, as is the case across the board.

Indicator 7: Employees of graduates of HRID-supported programs report satisfaction with graduates. It is too early in the general implementation process to make a determination on any of the in-service capacity building programs.

Indicator 8: External evaluators rate the training as satisfactory according to standards established by the trainers. Likewise as in the immediate preceeding indicator, activities will have to reach a higher level of maturation before qualitative examination of program contents may be initiated. In this regard, the installation of newly proposed evaluation and monitoring systems should strive to assure that technical advisors are imparting the requisite training skills and information.

3.6. Conclusions

The most important development pertinent to the projects potential for impacting in-service training capacity was the change in project scope at the watershed June 1989 meeting. A

major shift in emphasis from private sector to the public sector was effectuated at that time. Early funded programs relative to private businesses will phase out. The remaining programs will be in the public sector, namely Ministries of Works and Supplies and Local Government.

The outstanding issues to be addressed include, but are not limited to the following: installation of monitoring and evaluation systems; creation of high quality and cost-effective in-service training programs; institutionalization of learning in the targeted specialized fields of study; establishment of means to assure program sustainability; and development of plans for proper utilization of Malawian counterparts.

3.7. Next Steps

The major task to be concluded in relation to this end of project status outcome is a definitive determination of the scope of activities for the in-service training component and the target audience(s) to be served. Activities underway and pending, outside of the private sector, are concentrated in government agencies. A question yet to be answered is the amount of involvement expected by post-secondary institutions in in-service training activities relative to planning, financial management and management systems.

The organizational training and development needs of the Ministry of Local Government are enormous. The HRID Project can not address the overwhelming array of problems of the Ministry. It is recommended that a carefully defined and more narrowly focused plan of action be devised for the Ministry. Any program agreed to should additionally provide for close monitoring of technical assistance, the appointment of appropriate counterparts and the transference and institutionalization of specialized training capacity in local training organizations such as the Staff Training College and Malwai Institute of Management (MIM).

4.1. Objective 2: Increase public sector planning, financial management and management systems' capacities in critical development Ministries;

4.2 EOPS 2.1: An increase in the capacity of participating institutions and organizations in all sectors to plan for HRD and to use participant training and in-country training to achieve institutional outcomes.

4.3. Historical Perspective.

The HRID Project aims to improve organization performance, in part, by improving the capacity of selected organizations to plan

for and manage human resources development. The project is open to participation by a variety of organizations responsible for Malawi's development and their participation is determined through an application or proposal process based on explicit criteria. Especially important to the attainment of this outcome is the effective use of participant training, third country training and in-country training that are provided so that organizations might perform better.

Under HRID numerous Government organizations have applied for support to strengthen their capacities by developing their personnel. Those organizations include:

Government Agencies

- Ministry of Forestry
- Ministry of Works and Supplies
- Ministry of Justice
- Ministry of Trade Industry and Tourism
- Office of the President and Cabinet
- Department of Personnel Management and Training
- The Public Service Commission

The University of Malawi

- Chancellor College
- Centre for Social Research
- Bunda College
- The Polytechnic
- Kamuzu College of Nursing

Service Agencies (private sector)

- Development of Malawian Traders Trust (DEMATT)
- Malawi Union of Savings and Credit Cooperatives (MUSCCO)
- Private Hospital Association of Malawi (PHAM, Mlambe Hospital)

Statutory Bodies

- Malawi Bureau of Standards
- Malawi Broadcasting Corporation
- Malawi Export Promotion Council

All training has taken place in the United States with the exception of training in Tanzania and Zimbabwe provided to MUSCCO participants; and in-country training for DPM&T's Management Information Systems' (MIS) development team.

Eight participants are currently in long-term academic degree programs in the United States. There have been twenty-four

requests (delivery orders) for long-term U.S. academic training. Sixteen requests are pending. Short-term training requests total sixteen, to date, with two of them pending. Nine participants have completed short-term training, of which three were involved in third country training and five received training in Malawi and the United States. One trainee participated in a 27-day orientation study tour of federal and state government agencies in the United States. Five participants are currently in short-term training programs in the United States. Of the sixteen short-term requests, two are women, however fifty percent of long-term trainees in the United States are women. To date, there have been no placements in historically black colleges and universities (HBCUs).

4.4. End of Project Status

One of the challenges of the HRID Project is to ensure that organizations applying for HRID funding understand that the project is designed and intended to build institutional/organizational capacity. The Field Office Coordinator, begins his presentations with the statement, "HRID is not a training project." The first aim is to determine how organizations can improve their overall performance then to select improvement strategies; among the strategies available to them is training.

The Project Paper and the Project Agreement speak to this point in two ways. First, in a review of the project objectives, these documents state this objective, "increase and improve the capacity of trained and experienced Malawian professional and technical employees in critical development Ministries." The documents go on to say, "Overseas training will begin with an identification of the organization's needs, career planning for individuals selected for training, a monitoring and evaluation scheme, and a plan for utilizing the trainee upon his or her return." Second, the Project Paper and the Project Agreement provide guidelines to organizations applying for HRID assistance to support organization improvement. Of the 200 points that can be awarded in a review of applicants, these items are relevant here:

- The need and objective. This is to be stated in terms of the priority and how it will increase the effectiveness and efficiency of the organization or institution and how this fulfills the Project's objectives (40 points).

- Pre-training. Before the organization receives training, the Project encourages thorough preparation. The Project seeks evidence that there has been appropriate and wide involvement in planning by the organization and individuals expected to be included in the activity (10 points).

- Technical assistance and training support. While employees are away in training, the institution should monitor their progress, communicate and keep employees informed of what is going on back home, and be supportive of the training experience. The proposal should indicate who in the organization will have responsibility for providing support for trainees and what kinds of support will be provided. Similarly, technical advisors are expected to have counterparts and to operate with a specific plan to improve the organization's performance (10 points).

- Post training assistance. After training has occurred, the organization should be able to use the newly developed resources and skills. The new skills should be demonstrated and encouraged on the job, the placement of the trainee should be in accordance with the training received, re-entry training should occur, others in the organization should benefit (10 points).

Seventy of the two hundred points awarded in proposal review relate to the project's organization improvement purpose.

When the HRID Project underwent reshaping in June, 1989, human resources development was retained as a project purpose, but no objective related to training and its relationship to organization improvement was provided other than the objective related to DPM&T, addressed above. That objective states the intention of HRID to develop the capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively. (The design documents contained the language DPM&T and development Ministries.) However, the organization improvement criteria have been retained in project proposals and in related project documents.

Because HRD capacity-building appears to be an important and continuing intent of the HRID Project, the following end of project condition is proposed. The HRID Project will result in;

> An increase in the capacity of participating institutions and organizations in all sectors to plan for HRD and to use technical assistance, participant training and in-country or third country training to achieve institutional outcomes.

4.5. End of Project Indicators

The end of project status, stated above, is defined in this evaluation as the attainment of four outcomes. These outcomes, indicators of the successful achievement of the desired end of project status, are:

> Requests for USAID/other donor assistance are based on an assessment of organizational performance;

Training plans explain the institutional contributions expected of the trainees and the strategies for ensuring institutional outcomes are clearly stated;

Trained participants return to roles for which they were trained and achieve their organizational requirements before job transfer; and

Selected Government organizations have the capacity to assess their training and technical assistance needs and manage the training and advising functions.

These indicators reflect the intent of the design document and the operational reality of the current project as implementors would like to see it work. The first two indicators are verifiable as part of the HRID application process and are clearly imbedded in operations. The third is a highly desirable outcome that key actors would like to see effected by HRID, but it is also clear that impacting on traditions of the common service is very difficult without the concerted commitment of donors and of USAID in this instance. The final indicator, calling for institutionalization of the HRD planning process, is not as clearly documented in the project's evolution although the intent is implicit and, therefore, offered here for consideration.

4.6 Measures of End of Project Indicators

At the end of the HRID Project, relevant measures will include:

Documentation from donors including USAID that shows evidence that GOM agencies are basing their training requests on organization performance assessments;

Training Officers in agencies that have participated in HRID produce training plans based on assessments of organization performance and the documents meet standards of quality including clarity of needs, objectives, training strategies,and intended organizational outcomes; there is evidence that the process is used outside HRID; and

Follow-up with returned participants should confirm that they returned to jobs for which they were trained and made contributions to the strengthening of their employing organization.

4.7. Early Evidence of progress and Related Indicators

The primary sources of information used to assess progress towards achievement of the indicators listed above are:

Documents including proposals, delivery orders and training plans;

Interviews with training participants, employers (applicants for HRID assistance), returned participants, contractors (AED and IIE) and donors who fund participant training.

An analysis of the resulting data follows.

Indicator 1: Requests for donor assistance. As a result of HRID donors are expected to include organization performance assessments in the determination of training needs.

As indicated in Section V.A.4 below, major donors have begun to use organizational needs as a basis for developing training needs. This practice has begun not as a result of HRID, but because of a growing awareness among donors of the need to link human resource planning to institutional needs analyses. There is still wide variations among donors as to how this linkage is made.

Indicator 2: Organizational training plans. As a result of the HRID Project, participating organizations should be planning training on the basis of organizational assessments of performance.

Analyses of proposals, delivery orders and training plans demonstrates that, in many cases, the development of training plans has been on the basis of organizational and performance assessments although not always explicitly. Training plans are often weak in that there doesn't appear to be a linkage with training and the institutional contributions expected of trainess upon their return. In some instances training plans have merely been requests for training for staff members. Most training plans indicate that the training requested is essential and not available in Malawi, however, there is no indication that training is not available in other African countries. Organizations need to take a more proactive stance towards the training plan process to ensure that organizational assessments are the basis for training requests and the institutional contributions expected of the trainees are clearly defined and linked with the training to meet the objectives of the HRID Project.

Interviews were conducted with four participants currently studying in the United States. Those interviews further explain the progress towards achievement of this outcome. Some participants stated that they were asked to write a training plan indicating their expectations of the academic training and how it would benefit them in their positions within the organization or institution. Others mentioned that their training was approved based upon their institution's training plan and outlined the

institution's expectations of the training and its relevancy to the institution's overall strenthening.

Interviews with several employers indicate that they determined the training needs through their planning for manpower development and organizational strengthening as well as the organizations'objectives. Most employers stated that they have a dearth of trained personnel and a host of prospective trainees. They indicated a strong interest in improving their training plans to enable them to increase the number of approved training requests under HRID. Although they feel that the training plans proposed link the training with the institutional contribution expectation of the trainee, this is not always evident.

Indicator 3; Roles of returned participants. Participants in the HRID Project are expected to return to assume responsibilities for which they were prepared during their training.

Interviews with returned participants, although there are only nine who received short-term training, reveal that this objective has been or is being achieved. Participants have returned to or been placed in positions for which they were trained. In many cases they indicated that the training was very useful and the knowledge and skills are being utilized and shared with colleagues, to the extent possible. With respect to the training received by the DPM&T MIS development team, they have been unable to apply their newly acquired skills to many phases of their operation because of the lack of essential equipment.

Interviews with the placement contractor and subcontractor indicate a full understanding of the organizational emphasis given to participant training in the HRID Project. However, there may be a need to frequently remind all key actors that HRID is different from other participant training projects because of organizational strengthening component that requires back-home linkage between participants and their employers during training. It is hoped that where requests have been made for attachments to specific training, the contractor will assist to ensure that this objective is met.

Indicator 4: Organization capacity to assess needs for technical assistance and training. Organizations that receive HRID funding for training should be found to continue to plan for training based on an assessment of organization needs.

Interviews with employers that have sent participants to training or requested technical assistance under HRID indicate that employers range widely in their comprehension and current use of an HRD planning process that goes beyond the traditional, highly expedient, means of selecting and sending personnel for training. Within the university there are numerous examples of training and

technical assistance programs designed around an institutional need such as the need for a specialization in transport economics. The other extreme is represented in Bunda College where training participants clearly were selected years prior to HRID, technical assistance will be used for "substitute teaching" and there has been little effort to use the resources of HRID to improve their internal process.

4.8 Conclusions

In the HRID Project training and technical assistance play important roles in the strengthening of organizations and institutions. Participating organizations were expected from the outset to use HRID to further develop their capacity to plan for and use human resources. This aim continues to be important, even where participants have been selected or are already in training. The project will need to keep insisting on and supporting the organization strengthening intent of this project component.

Indicator 1: Requests for donor assistance. Since major donors are using institutional needs as a basis for requesting training assistance, and since DPM&T is the key agency to which donors and agencies bring resources and needs, DPM&T is in an opportune position to use the experiences it has gained through the HRID Project to develop policies and procedures which may produce greater uniformity in procedures by which agencies demonstrate training needs, and better coordination of donor assistance.

Indicator 2: Organizational training plans. There is early evidence that this objective is an important one and can have significant payoff when the planning process is used as the project intended. It has also been possible for proposals to HRID to pass screening without seriously engaging in this project requirement. A detailed analysis of the training and its linkage to the institutional contribution expected of trainees is needed. An indication that third country training is desired or should be considered should also be included in the training plans. Organizational objectives are better served by in-country, third country and group training. (DPM&T MIS Development Team training is an example of the benefits of group training.) It is anticipated that this process will improve with close monitoring and evaluation of training plans at the proposal stage.

Indicator 3: Roles of returned participants. It is not possible at this time to evaluate long-term participants since none have returned, however, all participants interviewed stated that the academic program they are pursuing is appropriate and relevant to their current position within the organization. They also indicated that there is a plan to utilize their training within the organization upon their return. They stated that they will be required to share their knowledge with colleagues either

through inservice training, staff development or teaching and curriculum development. Participants will join professional associations prior to their departure from the U.S., thereby allowing them to share periodicals and other publications with their colleagues. Re-entry and follow-up workshops and seminars are being planned for all participants. Participants also indicated a strong desire to participate in future pre-departure orientations to share their knowledge about the U.S. as well as an interest in forming an alumni association of Malawians who were trained in the U.S. This early evidence indicates that this objective should be met.

Indicator 4: Organization capacity to assess training needs. This objective is crucial and requires strong management and organizational skills. The process of handling participant under the HRID Project has included involvement of all key actors, USAID, The Academy for Educational Development (AED), The Institute of International Education (IIE), HRID Field Office and to some extent, DPM&T.

Upon the completion of the proposal approval process, the candidates are processed and prepared for departure by USAID and AED/IIE and to a lesser extent their employer. Numerous documentation has to be completed accurately, including, but not limited to, the delivery orders, PIO/Ps which includes training plans, participant data forms, visa applications (IAP-66A), medical certifications, etc. These forms are drafted by AED/HRID Field Office and approved by the USAID Training Officer. When the organizational training plan is not detailed in the proposal, the HRID Field Officer has to contact either the candidate or his/her employer to obtain the necessary information through a personal or telephone interview. This process can be labor-intensive and time-consuming. Clarity of training needs, objectives, training strategies and outcomes would alleviate the need for the Field Officer to conduct an extensive interview with the candidate or his/her employer to obtain this information.

When all documentation has been completed, the final PIO/P is submitted to USAID for final approval and completion of the delivery order to begin the process for funding. The U.S.-based contractor is contacted to begin the placement process. A pre-departure orientation is held in Blantyre which is one week in length and includes basic computer training introduction, a detailed outline of the conditions of the scholarship, background information about the United States, including relevant socio-economic issues and values of Americans, and the elected training institution.

Although not always covered extensively during this orientation, participants are told what clothing and other essential items will be needed. This is very important and should be covered in greater detail to avoid trainees being under-prepared upon

arrival.

Evidence indicates that the documentation process could and should be improved to alleviate problems later which ultimately affect the participant. Documentation needs to be done more efficiently and expeditiously to facilitate the placement process. Documents are often submitted several times before they are approved. Thorough training for individuals preparing the documents is advised. Proper and early submission of the required documents would eliminate any delays in placements and afford the placement contractor the necessary time to select training institutions.

In some instances, while participants are in long-term training in the U.S. their employment responsibilities are temporarily carried out by an expatriate technical assistant/advisor. In others, operational experts (OPEXs) have been brought in as counterparts to design and implement training that the participant will perform upon return or to train a Malawian currently on staff. An assessment of the HRID technical assistance follows.

The HRID Project has made use of both long-term and short-term technical assistance. Currently, five operational experts (OPEX) are in Malawi at DEMATT, Chancellor College, ESCOM and the Ministry of Works and Supplies. Interviews with OPEX staff and with activity grantees centered around: orientation of advisors, institutional development strategies, support from the field office and from the grantee, and issues or concerns. Following are the findings and conclusions regarding technical assistance.

Advisors are in every case very pleased with the orientation and preparation they received from the Academy for Educational Development in Washington, DC. Administrative matters were dealt with in a timely and efficient manner and information was thorough and effectively presented. In many cases, Malawians had been involved in the selection of the advisor and were instrumental in establishing an early understanding of the context in which the job would be done.

Advisors understand the HRID Project as an institutional development project. They are clear about the importance of their counterpart relationships and they have strategies for transferring knowledge and skills to them. Most of the advisors are involved directly in training. They are aware of the proposal process and needs analysis that was performed prior to their arrival and they have reviewed their terms of reference with key actors in the grantee organization. Many of the advisors, long- and short-term, have a phased plan for implementation that calls for increasing reliance on Malawians.

The HRID Field Office has been responsive to the needs of

advisors and has assisted in solving housing and other logistical problems. Staff have always been available to advisors when needed.

Two issues or concerns arose in assessing the performance of technical assistance under HRID. First, the length of the contract was questioned. Four out of five long-term advisors believe that their contracts are insufficient in length to complete the scope of work which they have undertaken. The estimates of time needed range from six months (ESCOM) to three years (Ministry of Works and Supplies). Second, grantees have expressed an interest in greater involvement in advisor evaluations. They are aware of the six month reporting requirement and at least two grantees would like to be more substantively involved in the process.

The performance of technical assistance under HRID is excellent and should be expected to make a contribution to the outcomes that the project intends to achieve. Credit should be given to AED and to grantees for solid planning for and support of advisors.

4.9. Next Steps

It is likely that most participant training and many technical advisor selections have been made under HRID. Therefore, the organization stregthening objective can best be addressed in the future by giving serious attention to the current project grantees and helping them to make better use of the participant training that is already in process. The HRID Field Office and DPM&T should follow up each organization receiving training, conduct an informal assessment of their use of participant training and provide the appropriate technical assistance. The training subcontractor should be fully oriented as to expectations regarding trainee support in the U.S. and of the importance of the organization strengthening objective of HRID.

With respect to donors, DPM&T should consider developing a plan to assist agencies and donors in simplifying, standardizing and coordinating the use of organizational needs analysis as a basis for developing human resource development plans presented to DPM&T for processing through the annual training plan development process.

5.1. Objective 2: Increase public sector planning, financial management and management systems capacities in critical development Ministries

5.2. EOPS 2.2: An increased efficiency and effectiveness among participating GOM agencies whose

projects have aimed to strengthen management capacity or other aspects of organization performance.

As part of the aim of HRID to improve organizational performance, participating organizations used training, technical assistance and other organization development strategies. Training and technical assistance were addressed in section above. In this section, the evaluation report addresses the HRID Project components aimed at developing management capacity through organization development. Government, parastatal and agencies servicing the private sector were eligible to receive organization development assistance under HRID.

Thus far in project implementation, three organization development activities have been awarded and one is in the planning stages. The targeted agencies are: the Ministry of Local Government, DPM&T, and the Ministry of Works and Supplies, and, in preparation, the Ministry of Health.

5.3. Historical Perspective.

Since the inception of HRID, the project has given attention to organization development and to the improvement of Malawi's capacity to meet the specific management development needs of employers. Requirements throughout Malawi for the improvement of management capabilities were identified in the Project Identification Document (PID) and in every subsequent design and implementation document. An original purpose of HRID was "to improve the efficiency and overall effectiveness of professional, technical, managerial and administrative human resources employed in the public and private sectors." The Project Paper and the Project Agreement stated the intention of HRID to lead to "a significant increase in the proportion of Malawians filling mid-level and senior-level managerial, administrative and financial positions in the private and public sectors." Included in the project design was an emphasis on inservice management training, the compilation of a directory of locally available management courses, the development of short new courses, and the sponsoring of participants in an intensive MBA program initiated under the African Manpower Development Project and the Fertilizer Subsidy Removal Program.

In addition, the design documents called for institutional support for small and medium scale enterprise (SME) development. Organizations named to receive assistance were; Development of Malawian Traders Trust (DEMATT), Investment and Development Fund (INDEFUND), Malawi Union of Savings and Credit Cooperatives (MUSCCO), Malawi Entrepreneurial Development Institute (MEDI), Small Enterprise Development Organization of Malawi (SEDOM), and the Ministry of Trade, Industry and Tourism as a support to the

SME sector. HRID was intended to serve as a follow-on to the USAID READI project.

The project's redesign which took place in June 1989, significantly narrowed the scope of this set of project activities. The revised objectives called for "an increase in public sector planning, financial management and management systems capacities in critical development ministries." The revised focus continues the emphasis on inservice training and highly specialized degree and non-degree courses in skills development to include planning and managerial functions and financial management. The project also proposed to provide interim institutional support for small and medium enterprise and organizations serving the private sector. This support would be provided as bridge funding until the availability of a follow-on READI project. The Associated Chambers of Commerce and Industry in Malawi (ACCIM) was added to the list of eligible applicants for HRID support.

Based on both original and revised project design documents, the following is a reformulation of the HRID end of project status regarding organization and management development. At the end of the HRID Project there will be:

> An increased efficiency and effectiveness among participating GOM agencies whose projects have aimed to strengthen management capacity or other aspects of organization performance.

5.4. End of Project Indicators

The end of project status, stated above, is defined in this evaluation as the attainment of two outcomes. These outcomes, indicators of the successful achievement of the desired end of project status, are:

> Participating organizations regularly produce evidence/documentation of improved management performance;
>
> There is an internal capacity to assess organization performance on an ongoing basis.

These indicators are highly individual to the project that is proposed and approved for HRID funding. Each proposal would be expected to contain specific objectives and to establish performance measures. Furthermore, the grantee would be expected to report regularly on progress towards achievement of the outcomes it has elected.

5.5. Measures of End of Project Indicators

Each activity funded by HRID is expected to indicate its own performance measures. At the end of the project, documentation should be available with each grantee to verify what has been accomplished under HRID.

5.6. Early Indicators of Progress and Related Evidence

The primary sources of information used to assess progress towards achievement of these indicators are:

Proposals and delivery orders;

Interviews with each grantee.

An analysis of the data provided in proposals, delivery orders and interviews follows.

Indicator 1: Improved management performance. As a result of HRID, participating organizations should demonstrate an improved management or organization performance capacity.

Two management improvement projects are installation of data processing and management information systems (MIS) systems in the Ministry of Works and Supplies and DPM&T. The data processing system in the Ministry of Works and Supplies has been based on a thorough assessment by an external consultant (Price-Waterhouse). An external consultant (Access Technologies Group) assisted DPM&T with an assessment for the MIS system in conjunction with the MIS Development Team.

At DPM&T, the MIS system has been fairly well planned and the need is clearly demonstrated.

Two projects are essentially training projects for the Ministry of Local Government and the Ministry of Health. An external assessment of training needs for Local Government has contributed to a good basis for designing the HRID activity. Assessment is still in process in the Ministry of Health.

Of the four projects cited above, internal management planning capability has probably not been improved as yet in any of the organizations. Ministry of Works and Supplies already has a capacity for planning that exceeds that of other Ministries. At the Ministry of Works and Supplies, DPM&T and Ministry of Local Government there is clearly a potential for the HRID effort to strengthen management.

Finally, the ACCIM proposal was developed solely by the General Manager without input from his Board. The organization strengthening purpose of the proposed activity is indirect, but

could be supported. No measurable outcomes are offered. Created in 1982, the ACCIM has 300 members. It caters, primarily to larger businesses such as Lever Brothers, Atupele Transport and Royale Chemical Enterprises and serves the SME sector on a more limited basis. The General manager argues that this is appropriate because multinationals and other big businesses employ significant numbers of Malawians and "so long as you are training a Malawian, you are losing nothing."

Indicator 2. Internal capacity to assess organization performance. At the end of the HRID Project, activities targeted to management improvement are expected to result in a continuing capacity to assess organization performance.

The four Ministries working on management improvement have relied on external assistance to assess their organization performance. They are making use of the data, yet it is too early to tell if a lasting planning and assessment capacity will be effected by HRID.

5.7. Conclusions

The aim of HRID to strengthen management capacity is in its early stages of implementation. Projects of this type are well worth doing. However, to be successful they require either or both of the following: strong organizational leadership or support and assistance from HRID or other technical assistance. So far there is a gap between the project rhetoric and the commitment of project resources in this area of activity. While these kinds of activities can have high payoff, they are risky, especially if the needed support and leadership are unavailable. All projects show promise but will need solid HRID monitoring and support to contain cost and ensure quality.

5.8. Next Steps

The HRID Project must determine to what extent this project outcome should be supported. Such activities can require significant amounts of staff time. If this purpose is retained in HRID, activities should be supported in organizations where leadership is present and where management improvement is high on the organization's agenda. In other words, seize opportunities rather than trying to create them.

This project purpose could be pursued solely through the building of inservice management training capability within training institutions or other organizations. The refocusing of the project in June 1989, suggests that this direction might be suitable to HRID's scope and resources.
Whether pursued as an organization development activity or as an activity to build inservice capacity in training institutions, the HRID Project must determine the level of priority to be given

to management improvement.

6.1. Objective 3: Increase the number of women in professional, technical and managerial fields

6.2. EOPS 3: More women in non-traditional occupations such as engineering, the sciences, business and finance, management, and law.

6.3. Historical Perspective.

Concern for increasing the opportunities for women to contribute to Malawi's development has been a key feature of the HRID Project since its inception. This concern is expressed in the Project's Objective: Increase the number of women in professional, technical and managerial fields.

The need for this objective is apparent, despite gaps in data related to employment of women. The percentages of women in professional, technical, administrative and managerial positions in all sectors are reportedly to be "markedly low" (Klauss and Yates). For example, only three percent of the country's economists and six percent of government executives are women (Vaughan and Chipande, 1986). According to another analysis, seventeen percent of the country's professional, technical and related workers are women, but only three percent of persons in administrative and managerial positions are women (Shields, 1980). Even in traditional fields such as education, home economics, nursing and agriculture, where percentages are considerably higher, problems of retention and access to training exist. For example, only eleven percent of the agriculture extension agents trained in 1987 were women, despite the fact that women constitute between 60-85% of the agricultural labor force associated with food crop production (Ministry of Agriculture, 1987).

Part of the problem of increasing employment opportunities for women in professional, technical and managerial fields is associated with the general problem of undereducation of women. It is estimated that less than one third of the enrolled students at the primary and secondary levels are females. The social dynamics which maintain this situation need considerable research before effective action planning can begin, and the HRID Project is providing a vehicle for initiating such research, as well as taking direct steps to increase employment for women.

In this sense, HRID has provided linkage between USAID's Women In Development objectives, detailed in the Mission's Country Development Strategy Statement (CDSS) and actions taken by the Government of Malawi. The Government of Malawi created a Commission for Women in Development in 1984, under the Ministry

of Community Services, in order to focus more attention on policy issues related to women. In 1985 the Chitukuko Cha Amanyi M'Malawi (CCAM) was established under the umbrella of the League of Malawi Women of the Malawi Congress Party, and in 1987 CCAM opened a Secretariate in the Office of the President and Cabinet to further the efforts to improve conditions of women.

6.4. Project Supported Activities.

In the Project Paper, three illustrative activities were included in Category A: a scholarship fund for women to study in non-traditional fields, long term training in the sociology of women in development, and short term technical assistance to the Commission on Women in Development. Category B illustrative activities were less specific and more topical, including : career development, women in professional and technical field, promoting labor force participation of women, supporting women in agriculture, financial resources for the education of women, and child spacing.

The activities related to this objective which receive HRID Project support include:

Sociology of Women in Development, Chancellor College, University of Malawi
Center for Social Research, Chancellor College, University of Malawi
National Commission for Women in Development
Scholarships for Study in Non-traditional Fields
Women's Registrar, University of Malawi
Nursing Midwifery, Kazuma School of Nursing
Community Health Nursing, Mlambe Hospital, PHAM

Several of these activities support other project objectives, but are also included here because it is assumed that the ultimate beneficiaries of the activity will be Malawian women. For example, funding of the Women's Registrar position is an activity which strengthens the institutional capacity of the University of Malawi, but does so in service of the goal of increasing access for women to the University and thus supports several project objectives. In a similar vein, fifty percent of the individuals selected for participant training support have been women, although the organizational strengthening which their training is linked with may not be related to the objective regarding increasing women's participation.

6.5. End of Project Status.

The Project Paper and the Project Grant Agreement specify that at the end of the project "significantly" larger numbers of women would be found employed in professional, technical and managerial positions in the public and private sectors. Because of the lack

of accurate baseline data, it may be very difficult to demonstrate the degree to which the end of project goal has been reached. Furthermore, since the sectors and fields were so broadly defined, it is also possible that project results may be so widely spread that impact is difficult to measure. When the PCC acted to narrow the focus of the project and reduce the number of objectives, the concern for women retained its priority. This is evidenced by the continuing support for activities in professional and technical fields, whereas in the other objectives the scope of training was narrowed to the field of management.

In order to focus project resources and activities which are more closely linked to other project objectives, the Evaluation Team suggests a modification of the objective concerning women, The proposed objective is:

> More women employed in non-traditional occupations such as engineering, the sciences, business and finance, management, and law.

It is the intention that at the end of the project there would be more women employed, both in absolute numbers and as a percentage of total employment in these positions, although as indicated earlier, this may be difficult to demonstrate due to baseline data deficiencies. By focusing project resources on employment in non-traditional fields it may be possible to have a greater long term impact on the role of women in Malawi's development than continuing to provide support for employment in traditional roles. It is assumed that support for increased employment in traditional roles will be provided through normal funding allocations and donor support, whereas it may be more difficult to find support for research, education, training and other employment generating activities in non-traditional fields and roles.

As pointed out elsewhere, the scope of the project was narrowed in June 1989 by effectively eliminating organizations from the private sector and parastatals. It is not known whether this action may have an impact on the accomplishment of this objective, since available data does not indicate whether there is a difference in the rate of the employment of women in non-traditional roles among the public, private and parastatal sectors.

6.6. <u>End-of project indicators.</u>

End-of project indicators for this objective are:

- Women trained under HRID are employed in suitable occupations related to their training;

- The training institutions continue to attract women into non-traditional fields without donor assistance tied to the placement of women.

- There is an increase in awareness of the importance of the role of women in the development of Malawi.

These indicators reflect the intent of strengthening the capacity of training institutions to produce a supply of women trained for employment in non-traditional areas, and in creating and sustaining demand for employable women in these areas.

6.8. Measures of End of Project Indicators.

At the end of the project evaluators will be able to gauge the success of the project in reaching this objective through the following:

1. Interviewing women who received scholarship support through HRID, as well as other HRID training support (Participant training, in-country, in-service training) to determine whether project support led to employment in non-traditional areas, and to determine whether they perceive an increased awareness of employers to employ women in non-traditional areas.

2. Time series data on the enrollment of women in HRID supported programs at education and training institutions.

3. Time series data on budget allocations for HRID-supported programs related to this objective, indicating whether support for these programs has been developed outside HRID.

6.9. Early Evidence of Progress and Related Indicators.

The primary source of information at this time to gauge progress includes the following:

1. The number of women receiving scholarships to study in non-traditional areas.
   The end-of-project target for women receivng scholarships, as stated in the PP Logframe is 60: at the present time 62 women are receiving scholarship support. It would seem necessary to conclude that this indicator will be surpassed. The early success confirms that women are willing to study in non-traditional areas, and that training institutions are open to accepting qualified women in these areas. Interviewees also indicated that this success is due in part to the timeliness of the scholarships; they became available at a time that the Ministry of Education increased its efforts to make secondary level female students aware of employment possibilities in non-traditional fields following

post-secondary level training in these fields.

2. The institutional strengthening activity of the University of Malawi related to recruitment of female students and development of fields of study important to Women in Development (WID) issues.

   The University has received project support to create a Women's Registrar position and provide it with necessary administrative and logistical support in order to focus recruitment and placement of women in non-traditional areas, as well as coordinating fields of study and research activities related to WID issues. The University has commited to sustain recurrent costs of this activity.

   Research and curriculum development has been initiated at Chancellor College for the introduction of study of Sociology of Women in Development, as well as the establishment of a program of Economic Research on Women in Development at the Centre for Social Research, Chancellor College. Dr. Jean Davidson is providing long term Technical Assistance to these activities, and two Malawian women are in long term training programs in the United States preparing for teaching and research responsibilities in these programs when they return.

3. Initiatives taken to strengthen the National Commission for Women in Development, and to develop a network of individuals and organizations which supports increased awareness of the role of women in development.

Following a national workshop on issues of women in development, organized with the support of the HRID Project, the National Commission for Women in Development submitted a proposal to HRID for organizational strengthening assistance. This proposal was approved, and activities will be supported which aim to increase awareness of the role of women in development. These activities include: staff training support (participant training in the U.S. and third countries, as well as in-country Masters degree training in Sociology of WID; in-country workshops for national policy makers and front line officers working on Commission activities; support for Women's Business Associations; two research studies and two consultancies (the latter focusing on strategic planning for the Commission); and limited commodity support.

6.10. Conclusions.

The HRID Project is having early success in progress towards this objective. The Evaluation Team regards the activities in this area as among the most successful to date. The reasons for this

success include strong and creative responsiveness from the University of Malawi, dedication and skill of the OPEXer, and good timing.

The proposals which have been supported through the project appear to demonstrate a higher level of comprehension of the linkage between human resource development and institutional strengthening than in other proposals. This may account for some of the early success, and would bode well for the outcome of the project.

6.11. Next Steps.

Based on the success to date and the needs in this area, the recommendation regarding "next steps" is self-evident: do more of what is working. Specifically, next steps might include:

1. Seek ways to increase the funds available for women's scholarships in non-traditional fields of study, in order to increase the number of women studing in these areas. The Project Field Coordinator has interesting ideas about ways to do this, and to shift scholarship funds to local currency. These ideas merit follow-up.

2. Assure that women in long-term study programs in the United States are in contact with their home units in Chancellor College in order to keep abreast of and have input into curriculum development and research planning. If not already planned, their thesis research should be carried out in Malawi, under the supervision of Dr. Jean Davison, in order to maximize follow-up to her development work and integrate the returning staff into WID activities.

3. Assure that project funding is available to help the National Commission for Women in Development implement the strategic plans it develops. The HRID Working Group, with the support of the PCC, may need to take action quickly to assure such a set aside, given the limited amount of project funds. It is worth noting that other proposals were given such set asides, on the basis of relatively little evidence (e.g., MBA program, Bunda College, Ministry of Health, DPM&T) yet in this area no such action was taken, despite the success of other project supported WID activities.

4. Step up efforts to coordinate project supported WID activities more proactively. Consideration should be given to appointing a WID representative to the PCC, perhaps as a replacement for current representatives whose constituencies have little project support (private sector and parastatals).

7.1. Objective 4: Develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively

7.2. EOPS 4.1: Institutional and organizational support for HRD planning and consultation (currently provided by HRID/AED) is institutionalized in the DPM&T.

The HRID Project aims to improve organizations by strengthening internal capabilities to manage resources and, in particular, to plan for and manage human resources. Organizations that are targeted for strengthening in the HRID Project are The Department of Personnel Management and Training, Ministries of Health, Local Government, and Works.

The DPM&T plays a central role in human resources development in Malawi. DPM&T is responsible for manpower planning, for the assessment of needs for personnel, for assignment of personnel and for their training and development. The Department coordinates the use of donor assistance for training and manages all data relevant to the utilization of human resources.

7.3. End Of Project Status

Since the inception of the project, the DPM&T has been a key player in HRID. Both as a partner in decision-making and as a beneficiary of services, DPM&T was expected to undergo organization improvements. In the Project Paper, an objective of the HRID was to "develop capacity of DPM&T and development Ministries to plan, manage and utilize personnel efficiently and effectively." It was explained that the project would provide training and technical assistance to DPM&T in order to create a capacity in the GOM to perform all human resources development responsibilities and to take the lead in implementation of national training policy. Specifically, as a result of HRID, DPM&T was expected to be able to: (Annex, p.25)

- Assess organizations and their needs for training;
- Produce organizational training plans;
- Work with training officers throughout government and statutory bodies to plan and implement training programs in their organizations;
- Monitor and evaluate training;
- Assist officers in the development of career plans;
- Liaise with other human resources development professionals and local training institutions.

The Project Paper advised a cautious approach to the development of automated management information systems (MIS) for DPM&T and recommended that the HRID Project limit its involvement in MIS to a feasibility study. The aims, cited above, are reiterated in the Project Grant Agreement. In addition, the agreement states that the Office of the President and Cabinet (OPC) will have the overall management and coordination role and the DPM&T will exercise Government's day-to-day management and implementation responsibilities.

When the HRID Project underwent refocusing in June, 1989, the attention to DPM&T was retained. The revised objective was to "develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively." The language of the design document was retained, but the detail did not accompany the statement. Furthermore, the burden of implementation responsibility appeared to shift to the contractor and somewhat away from the DPM&T and this change was acknowledged in the minutes of the June 16, 1989, meeting of the Project Coordinating Committee (PCC) directing the Field Office to function as the PCC Secretariat, to assist organizations applying to the HRID for assistance and to liaise with organizations interested in HRID support. The role of the DPM&T was not addressed in the minutes.

Based on a review of documents, on interviews and on observations of current practice, the following is a reformulation of the HRID purpose with respect to DPM&T. At the end of the HRID Project:

> Institutional and organizational support for HRD planning and consultation (currently provided by HRID/AED) will be institutionalized in DPM&T.

7.4. End of Project Indicators

The end of project status, stated above, is defined in this evaluation as the attainment of three outcomes. These outcomes, indicators of the successful achievement of the desired end of project status, are:

- The annual training plan process of the GOM is based on organization performance improvement;
- DPM&T staff serve in consultative roles vis a vis client agencies and assist those agencies to produce HRD plans that are related to organization performance and goals for improvement;
- An operational and effective management information system is in place to track personnel and related training information.

The first two indicators reflect the intent of the project design

document and give emphasis to improvement of the training planning process. The third indicator goes beyond the expectations of the design document by moving to system design, development, installation and operation of an MIS under the HRID Project.

7.5. Measures of End of Project Indicators

At the end of the HRID Project, relevant measures will include:

A qualitative assessment of DPM&T's annual training plan and the related process to determine that planning for training is based on analyses of organization performance and that roles within DPM&T facilitate this process;

An assessment of the MIS to determine that it is in operation and is supporting the data requirements of the training plan process.

7.6. Early Indicators of Progress and Related Evidence

The primary sources of information used to assess progress towards achievement of these indicators are:

Interviews with the key players in DPM&T, the field office, and USAID;

Interviews with participants who have received training under the project;

Reports from technical advisors regarding the MIS.

An analysis of these data follows.

Indicator 1: The training plan process within DPM&T. As a result of HRID, the process for developing training plans is expected to rely on assessments of organizational need and performance assessments.

Interviews with training personnel in DPM&T indicate a strong interest in improving the training planning process along the lines modelled by the HRID Project. The process is well understood by all persons who have direct involvement in the Department's training operation and there is a desire to continue the effort to improve planning for HRD. However, there appears to be no clear plan as to how the process might be improved through deliberate activities and measurable objectives. DPM&T's interest is supported by the field office and with sufficient time to devote to this outcome, the DPM&T would become a priority. Interviews with USAID personnel, in general, did not elicit a priority interest in the achievement of this objective, although the intent of the objective may be somewhat less well

understood than it is by those directly involved with the HRD planning process in Government and the field office.

Indicator 2: Roles of DPM&T staff. As a result of the HRID Project, DPM&T staff are expected to assist agencies of the GOM to assess their organizational needs and produce training plans based on those needs.

Indicator 3: Management Information System. As a result of the HRID Project, the DPM&T is expected to have an operative and effective MIS to track training and other personnel data.

Both training and technical assistance have been provided to the DPM&T to design, install and operate an MIS system, however, the installation has not been completed to date because of a delay in the procurement of essential hardware. Reports indicate that the equipment was to have been installed while the MIS development team underwent training in the U.S. Technical assistance was provided by Access Technologies Group of Greensboro, North Carolina where the training took place.

The training consisted of two main components, XENIX Operating System and INFORMIX Relational Database System, to familiarize the trainees with the systems and teach them various database installation techniques and program development. Subsystems were developed for the three divisions within DPM&T represented by the trainees, personnel, management and training. The sub-systems were designed to include modules for initial data capturing, and reviewing personnel, management and training records. The personnel and management sub-systems were designed and tested during training, however, the training sub-system was completed one day prior to the team's departure from North Carolina. The delay may have been caused by the lack of sufficient time in the design of the course, and in subsequent clarification about course outcomes.

Once operational, the training sub-system will enable end-users to retrieve data pertaining to both external and internal training, donors providing training, type of training, training facility, training needed, returned trainees and an array of personal information.

Although trainees stated that the training fell short of their expectations, they concluded that it was indeed worthwhile and useful. They attributed the problems encountered to the lack of support and coordination from the training coordinator. Some of the problems cited were the postponements by outside training consultants, under-estimation of course duration and course cancellation.

7.7. Conclusions

As both a partner in the management of HRID and as a beneficiary of project assistance in the form of training, technical assistance and commodities, DPM&T was expected to strengthen its capacity to play a leadership role in human resources development in Malawi. The original intent of the project has been retained, although the ambitious expectations laid out at the start of the project have been revised and made more modest and the importance of the MIS has gained prominence in the intended outcomes.

Further, it should be noted that the DPM&T is a target of assistance from other donors, most importantly the World Bank, and significant resources are being devoted to tasks that may be compatible with and duplicative of the original plan for DPM&T under HRID. Any strategy undertaken from this time should be responsive to the larger plan for DPM&T and should be planned to take advantage of those resources.

Indicator 1: The training plan process within DPM&T. It is unlikely that the training plan process in DPM&T will be greatly affected by HRID unless the DPM&T and the Field Office determine that this is a priority and is achieveable within the resources available to them. Neither office has assigned this responsibility to any staff member or group that has the capacity to implement the task.

Indicator 2: The roles of DPM&T staff. There is no evidence that the roles of DPM&T staff have been affected by the HRID Project. Training provided to the staff has not been followed up within DPM&T. Staff shortages make reassignment or changing of staff priorities unlikely.

Indicator 3: Management Information System. The MIS is underway. The system has been designed and five persons have been trained to operate the system. Procurement has been slow, and trained personnel are sharing a single terminal as the system gets underway and they await final procurement of hardware.

Finally, the more limited role being played by DPM&T than was originally envisaged for the project mitigates against the institutional strengthening objectives of the project. Some of the roles assumed by the Field Office, such as provision of consultation to Government agencies without DPM&T involvement, misses the opportunity to transfer skills to DPM&T staff. Similarly, the failure to assign a DPM&T staff member to the evaluation was a missed training opportunity.

7.8. Next Steps

It is most urgent that USAID, the Field Office and key staff within DPM&T meet to review the organization development plan currently being undertaken within DPM&T with the assistance of other donors, and that these parties determine the role that HRID

might play in contributing to the implementation of the plan. If and when HRID identifies its role in the strengthening of the DPM&T, resources and responsibilities must be aligned with the intended outcomes. In addition, the project management/implementation role played by DPM&T should be aligned with the intended outcomes of the project.

The result of the next step should be an action plan that is detailed and specific. If Indicator 1, the training plan process is retained as an outcome, then the plan should be specific as to how this process can be influenced through HRID.

As HRID nears the completion of PCC project funding, it is realistic to assume that more effort can be placed on strengthening critical agencies. First, however, those agencies and the DPM&T in particular, need to demonstrate both the interest and the intent to meet the objectives they set for themselves within the constraints that are evident and understood.

8.1. Objective 4: Develop capacity of DPM&T to plan, manage and utilize personnel efficiently and effectively

8.2. EOPS 4.2: Within project guidelines, decisions regarding USAID funding of local projects made by Malawians through a collaborative and participative process.

The HRID Project is jointly managed by USAID and the GOM and the decision system is based on collaboration and participation by the key institutions and organizations involved in human resources development in Malawi.

8.3. End of Project Status: Historical Perspective

According to the Project Paper and the Project Agreement the HRID Project was intended to be managed jointly by USAID and the GOM through a Project Coordinating Committee (PCC) and three subcommittees. A U.S. contractor was designated to handle the USAID inputs and to take rsponsibility for implementation and coordination of the project. The PCC was composed of the Office of President and Cabinet as chair, the Ministry of Finance, private sector representatives from industry and agriculture and USAID/Malawi. The subcommittee for the public sector and parastatals was composed of DPM&T as chair; the Ministries of Agriculture; Finance; Health; Trade, Industry and Tourism; Transport and Communications; and Works and Supplies and Statutory Bodies. The subcommittee for post-secondary training and educational institutions was composed of the Ministry of Education and Culture as chair, the University of Malawi, Chancellor College, the Polytechnic, Bunda College of

Agriculture, Kamuzu College of Nursing, the College of Accountancy, the Lilongwe School of Health Sciences, and the Natural Resources College. The subcommittee for small and medium scale enterprises was composed of the Ministry of Trade, Industry and Tourism as chair, DEMATT, MUSCCO, INDEFUND, SEDOM, MEDI and the Ministry of Labour.

The activities of the project were to be developed under the direction of the PCC and the three subcommittees. Activities could be initiated by committees or proposed to committees by eligible organizations and institutions. It was anticipated that early project activities, encouraged at the direction of the committees and in line with USAID's country program, would be activities defined as Category A. After initiation of these activities, the committees would develop additional projects designated in the design documents as Category B. The committees, in other words, would perform a planning and development function so that activities could be based on national priorities, could be responsive to emerging needs and could contain a realistic assessment of available resources and institutional capacity for implementation. It was expected that the design of projects would be undertaken with direct assistance from the U.S. contractor and that all activities would pass through the committee structure for critical review. Each activity would be thoroughly described in a proposal having standard contents and scorable by the committees on a 200 point scale.

The first meeting of the Project Coordinating Committee (PCC) was held in November, 1988. In attendance were DPM&T as chair, seven Ministry representatives, representatives from Statutory Bodies, the University of Malawi, the Chambers of Commerce and Industries, USAID, and the field office. The subcommittees had met and forwarded project proposals to the PCC for their consideration. Other activities underway or completed by this date were a leadership workshop, two proposal development workshops, the University of Malawi Tracer Study, the women's scholarship program and some short-term technical assistance.

Sixteen proposals were considered by the first PCC. Proposals that were approved were:

Electricity Supply Commmission of Malawi (ESCOM), switchgear instructor and equipment;

Study of parastatal training needs;

Centre for Social Research, Chancellor College, training in economic research on women;

Economics Faculty, Chancellor College, masters degree program in economics with a speciality in transport

economics;

Sociology Faculty, Chancellor College, courses on the sociology of women in development;

Education Faculty, Chancellor College, masters of education in education management as a three year sandwich course for practicing professionals;

Education Faculty, Chancellor College, University Certificate of Education program offered as a sandwich course for practicing educators;

University of Malawi, scholarships for women in non-traditional fields;

University of Malawi, conversion program in accounting and marketing;

DEMATT;

DPM&T, management information system;

DPM&T, staff development.

Proposals not approved or deferred were from SEDOM, the Natural Resources College, the Faculty of Home Economics at Chancellor College, and a diploma/degree program in library science.

Issues raised at this meeting included discussion of the committee's approval authority, extremely high demand for HRID funds, definition of the private sector, availability of local currency funds, assistance to subcommittees, the viability of the subcommittee system, the quality of subcommittee proposal review and the utility of the proposal review criteria.

The second meeting of the PCC was held in March 1989 and was attended by DPM&T as chair, six Ministry representatives, representatives from Statutory Bodies, the Chamber of Commerce and Industries, USAID and the field office. The PCC considered eighteen proposals and approved ten:

Kamuzu College of Nursing for training;

Faculty of engineering, Polytechnic, computer-aide design and manufacturing;

Polytechnic, establishment of an MBA program;

Malawi Broadcasting Corporation for training;

Malawi Bureau of Standards for training;

Malawi Export Promotion Council for training;

MUSCCO for short-term training;

MUSCCO for establishment of a Certificate in Management Program at the College of Accountancy;

DEMATT for training of trainers;

Private Hospital Association of Malawi for training for staff of one of its member-hospitals (Mlambe).

Proposals from WICO, MIDCOR, Air Malawi, MDC, Tobacco Control Commission (all commercial statutory bodies), Reserve Bank, SEDOM, and the Ministry of Works and Supplies were declined or deferred.

Other issues discussed included the question of covering costs for the UCE program incurred before proposal approval, local currency costs, appropriate project size, and the importance of adherence to the decision process as it was intended to operate.

The third meeting of the PCC was a watershed point in the evolution of the HRID Project. Activities funded had consumed substantial resources, had deviated from the foci established in design documents, and had been decided without careful adherence to criteria and quality standards. In short, the demand for funding and the applications for funds had raced ahead of the structuring and organization of the project to deal effectively with its numerous constituencies. Expectations far exceeded the ability of the project to respond and the project was in danger of losing its public credibility. The project was unfocussed and it lacked sufficient quality controls.

For these reasons the third PCC meeting undertook to refocus the HRID Project and agreed on five objectives to guide the project. The revised objectives were:

Strengthen the existing post-secondary institutions (focus on the University of Malawi and support advanced degree training overseas for this audience only);

Increase public sector planning, financial management, management and management systems capacities in the critical development Ministries (curtail professional and technical training, emphasize inservice management training, add a focus on management systems);

Increase the number of women in professional, technical and managerial fields (support pre-service training);

Develop the capacity of DPM&T to plan, manage, and utilize personnel efficiently and effectively (MIS, Common Service, staff development, BA program in Public Administration at Chancellor College);

Provide interim institutional support for SME (bridge funding to READI II).

The PCC meeting continues with a discussion of HRID principles and assumptions giving special attention to organization-centered activities that lead to organization improvements, human resources development (as opposed to commodity procurement), sustainability, multiplier effects of projects, complementarity with other donor activities, and cost sharing.

Structural decisions were made at this time as well. the subcommitteees were put into limbo and the PCC was directed to take a more proactive role in the project. The Field Office assumed more responsiblility for project implementation and took on tasks originally intended for DPM&T. The incremental funding nature of the project was explained to PCC members and they were informed that nearly half the project funds had been committed.

While several old items of business were also handled at this meeting, the significance of the scope of the project redesign was a critical step in the evolution of HRID.

In the fourth meeting of the PCC in November 1989, four proposals were reviewed and approved in whole or in part. They were:

- Bunda College of Agriculture, training and technical assistance;
- DEMATT, training and technical assistance;
- National Commission for Women in Development, training, workshops and materials development; and
- Associated Chambers of Commerce and Industry of Malawi, commodities and staff development.

Again old items of business arose--the committee discussed the need to program health account funds.

The most recent meeting of the PCC was held in March 1990 and the evaluation team was in attendance. Proceedings consisted of customary business. The Evaluation Team noted the consistency with which members understood and applied their knowledge of project criteria and participated quite effectively in the proceedings. By this point in the project's life the substantial funding decsions have been made and the project will move more towards organizational strengthening and monitoring and

assistance to current projects.

At the time of this writing, the HRID Project focus has been refined and the following end of project indicator for the decision system, as it is understood by the Evaluation Team, is proposed. At the end of the HRID Project:

> Within project guidelines, decisions regarding USAID funding of local projects made by Malawians through a collaborative and participative process.

8.4. End of Project Indicators

The end of project status, stated above, is defined in this evaluation as the attainment of a single outcome. The sole indicator for the successful achievement of the desired end of project status is:

> HRID has institutionalized a funding decision system that relies on majority Malawian participation. The system is based on clear critieria and the decision process is public and open to scrutiny.

8.5 Measures of the End of Project Indicator

At the end of the HRID Project, relevant measures will include:

> Assessments by the participants in the decision process to rate that process on the bases of 1) extent of collaboration, 2) extent of participation, 3) openness of the process, 4) fairness of the process.
>
> Assessments by participants and others to determine the extent of their understanding of project criteria and the extent to which those criteria continue to be applied in decisions such as those that were made under HRID (eg decisions regarding training).

8.6. Early Indicators of Progress and Related Evidence

The primary sources of data used to assess progress towards achievement of this indicator include:

> Review of project documents and minutes of PCC meetings;
>
> Observation of a PCC meeting;
>
> Interviews with applicants for funding under HRID and with attendees at proposal writing workshops;
>
> Interviews with members of the PCC.

An analysis of these data follows.

Sources differ somewhat in their perceptions of the functioning of the PCC and the HRID decision process in general. Early indicators, however, point to the strong possibility that the institutionalization of an effective decision system will not be achieved by the end of the project. The evidence is this:

First, the project has achieved some measure of **collaboration**, but, as the Field Office has taken on increased responsibility on behalf on USAID, DPM&T believes that it is a lesser partner in the process. There is the perception on the part of DPM&T that they are not valued as an equal partner that has valid information to bring to the table. Activities opposed by the DPM&T were approved without regard for their opinion. Outside of DPM&T, DPM&T is seen as not having the capacity to participate in HRID to the level that they were intended to participate.

Second, the HRID Project was designed to encourage a broad base of **participation** through committee memberships. Several interviewees used the word "rubber stamp" when describing the committee's decision making process. In the early stages of the project, the process was well regarded, but participants increasingly believe that major decisions are made outside of the process by USAID and brought to the committtee. The PCC is not expected to disagree, although polite discussion will occur. These same critics would question the openness of the process, and would contend that most of the project's business is conducted outside the public forum.

Third, the HRID decision process has generally been considered **fair** in terms of final outcomes, but perhaps less fair in the process of submitting and screening proposals. The rules of the game were changed according to some, and a project that was very open to applications at the start severely limited participation by statutory bodies and the private sector later in the implementation stages.

Finally, the HRID Project depends substantially on the articulation, application of and strict adherence to project approval **criteria.** The criteria are extensive and complex and they are not well understood either by the applicants or the decision makers. Insufficient attention was given to disseminating and "teaching" the criteria and applicants rushed to HRID with little understanding of the expectations. Later project applicants have done somewhat better in reflecting the project criteria in their bids, but still fall short of adequate analyses. It is fair to say that everyone has learned a great deal about institutional development and is able to view training and technical assistance in a broader and more developmental context. This learning, however, has come too late to make a solid contribution to the HRID participants, perhaps the payoff

in this regard will come later.

8.7. Conclusions

The intention of the project to foster collaboration, participation, openness and fairness is laudable and has been achieved to a lesser extent than key players would have hoped. Solid decisions have resulted from the process, but the same outcomes could have been achieved with a far less cumbersome aparatus. The decision process has lead to awards and project implementation, but it has not been successful in fostering instuitutional development as it was intended to do.

Explanations for the disappointing progress of the HRID decision system have been offered by interviewees and can be substantiated to some degree by documentation. Several explanations follow: First, a project of this type requires careful structuring from the start and substantial and widespread agreement on rules, criteria, procedures, "givens," and amount and availability of resources. The HRID Project failed early on to ensure that participants knew how to use the process and that deciders really understood decision criteria. Therefore, the project had to stop and restart in midstream at the cost of credibility, especially outside the University.

Second, the decision apparatus was far too cumbersome for the resources about which to decide. Once it was apparent that significant funds were to go to overseas training and commodities, then the process simply could not respond effectively to high demand.

Third, very high expectations generated in the project forced decisions too early and confused the project's focus and intent.

Fourth, rather than receiving a charge to establish needs and set priorities, subcommittees began operating by reviewing proposals. They were not ready to do so effectively.

Fifth, hasty implementation made genuine dialogue among the key players impossible. The priority-setting and planning (front-end) of the project was effectively set aside by the tide of events and this most important potential outcome of HRID became a lost opportunity for the most part.

Sixth, in the decision structure, Government agencies sat on top of the statutory bodies and private sector. According to some, this fact damaged the process.

Seventh, project funds were not allocated, assigned or limited in any way from the beginning to make it difficult for applicants and deciders alike to know how much to invest in what. Some means of controlling spending was needed from the start and could

have been established by USAID or a representative decision group.

8.8. Next Steps

The majority of HRID funds have been allocated and the role of the PCC will turn to project maintenance and monitoring. This body can be effective if its charge is clear and the remaining tasks for the group are carefully and publically spelled out. It is unlikely that the subcommittees will be needed, but in the event that significant new projects and new funds were to be allocated, the evaluation team would urge participation by a broader constituency in the form of proposal review panels or external readers.

The remaining HRID funds should be reserved to support some of the twenty five projects already underway, rather than initiating new activities. The role of the PCC will be to award remaining funds based on review of activities in process.

The effectivenes of the PCC is currently limited by the less than full participation by the DPM&T. It is urgent that USAID and DPM&T have an open and thorough discussion of their desires and expectations for the project from this point forward.

APPENDIX 9 Criteria for HRID Activity Funding

The following is a list of the criteria for proposal guidelines stated in the Project Agreement.

Proposal Guidelines

(i) The Need and Objective: (40 points)

This is to be stated in terms of the priority and how it will increase the effectiveness and efficiency of the organization or institution and how this fulfills at least one of the project's six objectives.

(ii) Target Audience(s): (30 points)

The project emphasizes training or technical assistance that is provided tocurrent Malawian employees. Activities should benefit women as well as men. In general, managerial, technical and professional personnel will be given priority. The proposal should describe who will receive training or technical assistance and how they will benefit from it and contribute to strengthening the organization or institution.

(iii) Subjects of Training: (20 points)

In what subjects will employees be trained? The project supports a variety of requests for professional/technical education or for managerial/administrative training. Broadly speaking, the project provides training or technical assistance that contributes to agricultural productivity or diversification, technology transfer, employment generation, income generation, small and medium scale enterprise development, primary health care, child spacing, disease prevention, transportation, and managerial and financial effectiveness. The proposal should describe the content of the training or technical assistance and the knowledge, skills, or attitudes to be aacquired by the target audiences.

(iv) Venue: (10 points)

Where appropriate and possible, the project favors in-country training that utilizes Malawian institutions and facilities. The proposal should describe the venue and rationale for selection of venue and give a justification for any external training.

(v) Training or Technical Assistance Personnel: (10 points)

Wherever available, the project would like to employ Malawians to provide some portion of the training or technical assistance. The proprsal should identify local personnel, if known, that

might participate in the activity. For external training or technical assistance, provide the terms of reference for placement of participants or the recruitment of technical assistance. Since the technical assistance will mostly fill line positions (OPEX) within the organization, a description of the position to be filled including local salary to be paid and benefits should be included.

(vi) Length of Training: (10 points)

Because the project gives priority to in-service training, it is believaed that short practical courses and upgrading opportunities (advanced degrees in areas of specialization where shortages exist) will be emphasized. State the desired length of training.

(vii) Training Curriculum and Instructional Methods: (10 points)

The project has identified a need in Malawi for training approaches that are innovative, practical and experiential, and specific to the Malawi context. There is a need to relate training to the world of work. The proposal should describe how this training or technical assistance will contribute to improved curriculum or teaching approaches.

(viii) Pre-training/Pre-Technical Assistance: (10 points)

Before your organization or institution receives training or technial assistance, the project encourages thorough preparation. The project seeks evidence that there has been appropriate and wide involvement in planning by the organization and individuals expected to be included in the activity. Also, the organization is expected to orient trainees so that they will be ready to benefit from the experience. The proposal should describe your planning process, how employees have been prepared or will participate, and how technical assistance will be integrated into the work of the organization.

(ix) Training Support: (10 points)

While employees are away in training programs (especially long-term training), the institution should monitor their progress, communicate and keep employees informed of what is going on "back home," and be supportive of the training experience. The proposal should indicate who in your organization will have this responsibility for providing support for trainees and what kinds of support will be provided.

(x) Post-Training/Post-Technical Assistance: (10 points)

After training or technical assistance has occurred, the orgainzation or institution should be able to use the newly developed resources and skills. The new skills of trainees shuold be demonstrated and encouraged on the job; the placement of the employee should be in accordance with the training received; re-entry training should occur; and others in the organization should benefit, if possible, from the training; or a multiplier effect should be evident. The proposal should describe how the organization will ensure placement, re-entry, on-the-job support, and a "multiplier effect" from training and technical assistance.

(xi) Linkages: (10 points)

The project encourages linkages and dialogue between and among training institutions and employers in all sectors of the economy. The proposal should describe the linkages that will be established. Also sharing training resources is encouraged. Thus, special attention willbe given to those proposal benefiting two or more organizations.

(xii) Cost Containment: (30 points)

Consiering the severe budetary constraints facing both public and private organizations, the proposal's formulation should be guided by certain cost containment criteria. These include, but are not limited to:

a. Selection of most cost-effective option;

b. Minimization of recurrent cost;

c. Examination of ways to restructure or eliminate redundant or low priority programs; and

d. Maximum utilization of existing resources.

The proposal should describe what steps have been taken in the activity's design to minimize costs.

(xiii) Sustainability

Is the activity likely to continue and be institutionalized? Is there sufficient commitment and is there a plan to provide needed funds and resources? (At the request of the Mission this criterion was added.)

APPENDIX 10 Operational Experts (OPEXers)

Development of Malawian Traders Trust (DEMATT):

The DEMATT technical advisor was contracted to advise the Field Services Manager as a counterpart. Other activities of this advisor includes the following:

Review agro-industry projects in progress in the field to access funding requirements;

Provide advice to three technical consultants with regard to planning and developing self-supporting technical programs which includes a project to train 240 rural capenters furniture manufacturing with pine wood; and supervising rural carpenters in supplying 22,000 desks for primary schools for the Ministry of Education;

Conduct an advisory study with a medium scale furniture manufacturer as a training operation for three DEMATT regional office staff;

Assist with training and impact evaluations for business consultants during two one-week seminars; and

Assist with the development of DEMATT's five-year plans and budgets.

Additional activities will be undertaken by this advisor during the next stage of the project. These activities will include shifting the current focus of Field Services Manager counterpart to Technical Services Coordinator's counterpart.

Through the HRID technical assistance DEMATT aims to strengthen its institutional infrastructure and achieve the following objectives to:

provide staff with the necessary training to ensure the effective implementation of the planned strategy;

provide staff with opportunities for on-the-job-training in areas related to the identification of medium-scale businesses, promotion of these businesses and implementation of medium-scale projects; and

develop within the organization the capacity to identify and satisfy the human resources needs related to promoting medium-scale businesses throughout the country.

Women in Development (WID):

To provide strong flexible and efficient training institutional capacity, Chancellor College has received a technical advisor in the Sociology Department to develop course curricula for a masters degree program in sociology and women in development. This advisor serves as the coordinator while the counterpart is currently undergoing long-term training in the U.S. The advisor is assisting the Sociology Department by providing advice on ways to strengthen the existing undergraduate curriculum; and launching a training program on women's issues. These training programs are well underway. A highly attended workshop on women in development was held recently.

Electricity Supply Commission of Malawi (ESCOM):

ESCOM received a technical assistant to provide long-term expert switchgear instruction and training equipment to develop a curriculum and system for training technicians in switchgear operations and to train two counterpart instructors to continue this training. The courses developed are approximately six months in duration.

Ministry of Works:

The OPEXer for The Ministry of Works had just arrived prior to the start of the evaluation and it was too early to assess this activity, although the early indications were that all was proceeding as planned, there is the likelihood that more time may be needed for the advisor to complete the tasks.