

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.  
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA

<b>A. Reporting A.I.D. Unit:</b> Mission or AID/W Office <u>USAID/Malawi</u> (ES# <u>90-3-230-I</u> )		<b>B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan?</b> Yes <input checked="" type="checkbox"/> Skipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>90</u> Q <u>2</u>		<b>C. Evaluation Timing</b> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>	
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**D. Activity or Activities Evaluated** (List the following information for project(s) or program(s) evaluated. If not applicable, list title and date of the evaluation report.)

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
612-0230	Human Resources and Institutional Development (HRID)	7/21/87	9/95	18,000	11,824

ACTIONS

**E. Action Decisions Approved By Mission or AID/W Office Director**

Action(s) Required	Name of Officer Responsible for Action	Date Action to be Completed
1) Review all current project activities and place a moratorium on all new initiatives for the next 9-12 months in order to consolidate current activities.	K. Rikard	5/91
2) Clarify and agree on the roles and responsibilities of key project implementation actors.	K. Rikard	5/90
3) Prepare a Strategic Action Plan for the HRID project which includes actions required to implement evaluation recommendations.	K. Rikard R. Klaus DPM&T	5/90
4) Design a project monitoring and evaluation (M&E) system.	R. Klaus	12/90
5) Implementation of M&E system charged to the Academy for Educational Development (AED) with the objective of transferring responsibility to the Department of Personnel Management and Training (DPM&T).	R. Klaus DPM&T	12/90- 5/91
6) Identify and obtain resources required for DPM&T and AED to assume monitoring and evaluation role.	K. Rikard R. Klaus DPM&T	12/90

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(Attach extra sheet if necessary)

APPROVALS

**F. Date Of Mission Or AID/W Office Review Of Evaluation:** \_\_\_\_\_ (Month) \_\_\_\_\_ (Day) \_\_\_\_\_ (Year)

**G. Approvals of Evaluation Summary And Action Decisions:**

Name (Typed)	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
	Kenneth R. Rikard	T. Jack Mkwamba	Indira S. Biswas	Carol A. Peasley
Signature	<i>[Signature]</i>	<i>[Signature]</i>	<i>[Signature]</i>	<i>[Signature]</i>
Date	October 29, 1990	11/01/90	10/26/90	11/7/90

**ABSTRACT**

**H. Evaluation Abstract** (Do not exceed the space provided)

The Human Resources and Institutional Development (HRID) Project aims to strengthen and improve the efficiency and effectiveness of the Malawian workforce. HRID objectives are to: strengthen post-secondary training institutions, improve the management capacity of critical development ministries, develop and expand small and medium scale enterprise service agencies, and to create training and employment opportunities for women. The Project is being implemented by the Academy for Educational Development (AED).

This interim evaluation was conducted in March-April 1990 by Creative Associates International, Inc. and an A.I.D. representative from USAID/Kenya on the basis of a review of relevant project documents. The assessment paid special attention to revisions made during the project's early stages. The evaluation purpose was to review the revised design and set future priorities for activities. The methodology employed was "fourth generation evaluation" which used the evaluation to engage key actors in building an agenda for future project activities.

The general design strategy of linking human resources development to institutional needs is working well, and the institution-building, nature of the project provides a useful model for projects similar in purpose. However, extensive pre-planning and training of participating organizations are critical. A design assumption relying on the planning capability of government agencies and other organizations was overly ambitious resulting in a reduced project impact.

Differing perspectives regarding project focus, priorities and criteria for granting funds to local organizations resulted in funding activities of uneven quality and thinly spread resources. Remaining years/resources should be devoted to strengthening activities already funded under HRID and closely monitoring those activities. The HRID Field Office needs additional staff in order to fill this role. Of the 37 activities funded under HRID, the most successful are those that met funding criteria most completely; had a planning capability and a participative planning process in place in the organization; impacted a critical mass of staff; and had "sustainable" budgets.

The evaluators noted the following "lessons" learned when supporting institution-building project activities: all key actors should start small and get everyone on board; state clear decision criteria; insist on careful planning; and have support mechanisms in place to ensure the success of locally designed activities.

**C O S T S**

I. Evaluation Costs				
1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U S. \$)	Source of Funds
Name	Affiliation			
Dr. Richard Fehnel,	Human Resource Planner	33 Days		
Dr. Marcia Bernbaum,	HRDO, USAID/Kenya	14 Days		
Dr. Brenda Bryant,	Organizational Dev Specialist	21 Days		
Dr. Gretta Middleton,	Training Inst. Specialist	33 Days		
Ms. Jacquelyne Conley,	Participant Train'g Spec.	33 Days		
2. Mission/Office Professional Staff Person-Days (Estimate) <u>20</u>		3. Borrower/Grantee Professional Staff Person-Days (Estimate) <u>20</u>		

CONTINUATION OF PART I BLOCK E

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| 7) Develop a sustainability plan (as part of the monitoring and evaluation system) for each activity.                      | R. Klauss<br>DPM&T<br>K. Rikard | 12/90 |
| 8) Review DPM&T's role in the project and develop a plan of action which is appropriate to DPM&T's needs and capabilities. | K. Rikard<br>DPM&T<br>R. Klauss | 12/90 |
| 9) Increase funding for Women's Scholarship Program in non-traditional fields with the University of Malawi.               | K. Rikard                       | 9/90  |
| 10) Update and amend project document to reflect changes approved by the PCC.  | J. Newton                       | 12/90 |

## A.I.D. EVALUATION SUMMARY - PART II

### SUMMARY

**J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)**

**Address the following items:**

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|--|--|
| <ul style="list-style-type: none"> <li>• Purpose of evaluation and methodology used</li> <li>• Purpose of activity(ies) evaluated</li> <li>• Findings and conclusions (relate to questions)</li> </ul> | <ul style="list-style-type: none"> <li>• Principal recommendations</li> <li>• Lessons learned</li> </ul> |
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**Mission or Office:**

USAID/Malawi

**Date This Summary Prepared:**

9/90

**Title And Date Of Full Evaluation Report:**

Interim Evaluation of the Human Resources & Institutional Dev. Project - April 1990

**1. Purpose of the Activity:** With virtually no mineral resources and increasingly limited arable land, Malawi's human resource base is critical to raising agricultural productivity and enabling industrial and entrepreneurial development. The HRID Project aims to strengthen and expand the capacity for human resource development and to improve efficiency and effectiveness of human resources employed in Malawi. The objectives that reflect the strategies to accomplish these purposes are: (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 the Department of Personnel Management and Training (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. Project activities also improve managerial performance in self-selected line agencies by supporting human resource development plans and managerial strengthening activities. 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 activities commenced in early 1988. Project resources are used for overseas & in-country training (long- and short-term, pre- and in-service), technical assistance, commodities and project management.

**2. Purpose of the Evaluation:** The purpose of the interim evaluation was to assess the Human Resources and Institutional Development (HRID) Project (612-0230) paying special attention to revisions 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.

**3. Findings and Conclusions:**

**Project Focus:** Differences regarding the focus of the project were not resolved in a timely manner, allowing funding decisions to spread resources too thinly. The project focus was narrowed by the Project Coordinating Committee (PCC) in June 1989. This action probably 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.

**Project Design:** 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 various reasons i.e., 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.

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.

**Project Management:** 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. Additional staff are needed in either the USAID/HRID Project or the HRID Field Office, depending upon which office has primary responsibility for project implementation, and especially monitoring.

**Project Activities:** 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. Those activities 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 resources and management development.

**Project Resources:** 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 operational experts (OPEXers) that they may not be able to see their efforts institutionalized within their contract periods.

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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 appear to have been inconsistent.

#### 4. Recommendations:

- Future focus of the project should be on assuring success of currently funded activities, strengthening linkage between human resource development and management and development and institutional strengthening activities in critical development ministries and the Department of Personnel, Management and Training; and strengthening in-service training capacity;
- The "process" approach should be continued, with more careful planning at all stages to ensure that all project efforts are carried out consistent with the spirit of collaboration underlying the process. The HRID Working Group and the Field Office staff needs much more substantive involvement assisting critical ministries to plan and initiate project activities which link human resource development and management development;
- A project "action plan" needs to be developed and implemented as soon as possible. A key component of this plan is a monitoring and evaluation system which allows all parties to monitor their progress in a timely, efficient manner. It is essential that roles and responsibilities for all management tasks be clarified and assigned so that staffing needs can be ascertained and changes initiated where needed; and
- Structured activities such as workshops and conferences might be carried out which would assist grantees in sharing experiences. The PCC should carefully review activities considered "high" risk with the possibility of "decommitting" funds if viable proposals cannot be developed. The major characteristics of viable proposals should be: the organization meets funding criteria, has participative planning capability, plans human resource development to impact a critical mass of staff, and has an appropriate and sustainable budget.

#### 5. Lessons Learned:

- 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. All key activities and phases of the project should be designed, implemented and evaluated as learning opportunities for involved organizations;
- The USAID project design and approval process failed to identify weaknesses or inconsistencies in the design, resulting in project implementation problems;
- The key actors allowed the total project funding amount to be made public which has led to several serious problems discussed in the report (unrealistic expectations among potential grantees, pressure for spreading funds to resource poor agencies, lack of funding flexibility for future needs, loss of project credibility); and
- 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, and has not listened adequately to some of the key actors.

## ATTACHMENTS

**K. Attachments** (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

Copy of Interim Evaluation of the Human Resources and Institutional Development (HRID) Project (612-0230).

## COMMENTS

**L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report**

The evaluation provided answers to all the questions posed in the scope of work. The evaluators spent sufficient time in the field to fully understand the activity, its impacts, and the problems encountered in managing the activity.

The evaluators were objective and carefully analyzed project and interview data before drawing up principal conclusions and recommendations. The findings and lessons learned that are cited in the report generally concur with the conclusions reached by A.I.D. staff and well-informed host country officials.

The HRID Project Working Group was an integral part of the evaluation effort, and greatly appreciated the direction and guidance provided by the evaluation team comments and recommendations.