

A.I.D. EVALUATION SUMMARY - PART I

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/ASEAN Reg. Office</u> (ES# _____)		<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>91</u> Q ____		<b>C. Evaluation Timing</b> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>	
<b>D. Activity or Activities Evaluated</b> (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)
398-0287	ASEAN Human Resources Development	1987	5/93	\$14,000	\$10,139

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
Action(s) Required		
No actions, in addition to those USAID/ASEAN has already implemented in PILS and PROAG amendments, were prescribed for A.I.D. follow-up in the Findings, Conclusions and Recommendations of this Evaluation		
(Attach extra sheet if necessary)		

APPROVALS

<b>F. Date Of Mission Or AID/W Office Review Of Evaluation:</b>			
	(Month)	(Day)	(Year)
	July	27	1991
<b>G. Approvals of Evaluation Summary And Action Decisions:</b>			
Name (Typed)	Project/Program Officer	Representative of Borrower/Grantee	Mission or AID/W Office Director
Signature	Robert T. Dakan	Separate letters on file with AID/ASEAN Office, Bangkok, Thailand	Robert T. Dakan Acting AID Rep. to ASEAN
Date	<i>RT Dakan</i> August 1, 1991		<i>RT Dakan</i> August 1, 1991

A B S T R A C T

11. Evaluation Abstract (Do not exceed the space provided)

The primary goal of the project is to accelerate the transfer, adaptation and development of technology in selected areas that contribute to economic productivity within the ASEAN region. It provides support to the training and research activities of four ASEAN Regional Centers: the Asian Institute of Technology (A.I.T.); the SEAMEO Tropical Medicine & Public Health Project (TROPMED); the ASEAN Agricultural Development Planning Center (ADPC); and the Plant Quarantine Center and Training Institute (PLANTI). The first three centers are in Thailand; PLANTI is in Malaysia. The major findings and conclusions are:

- The basic assumptions and concepts underlying the ASEAN HRD, Phase II Project are sound.
- Each of the four ASEAN regional centers will have met or exceeded the overall objectives ordained during the LOP.
- Only the PACD of A.I.T. need be extended, this to accommodate a shift in emphasis to private sector activities.
- Any modifications required in individual center operations and activities were accomplished through PILS implemented in prior years.
- Each of these ASEAN regional centers has become more oriented toward providing services to, and in turn soliciting and increasing degree of involvement and support from, the private sector.

Among the lessons noted in this interim evaluation are:

- ASEAN provides a structure through which regional assistance can be channeled to supplement or supplant bilateral aid programs in Southeast Asia.
- The ASEAN centers can serve as effective conduits of assistance to Cambodia, Viet Nam and Laos as well as other nations outside ASEAN such as Bhutan, Myanmar, Outer Mogolia and Papua New Guinea.
- It behooves ASEAN to institute more effective means of monitoring and coordinating its regional centers to play a greater role in support of private sector 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												
<table style="width: 100%; border: none;"> <tr> <td style="width: 30%;">Name</td> <td style="width: 70%;">Affiliation</td> </tr> <tr> <td>Harry J. Petroquin, Jr. Team Leader</td> <td>TVT Associates, 503 Capitol Court NE Suite 300 Washington, D.C. 20002</td> </tr> <tr> <td>Dr. Tung Au, Engineering Educator</td> <td></td> </tr> <tr> <td>Dr. John Conje, Agriculture Research Specialist</td> <td></td> </tr> <tr> <td>Ms. Mona Grieser, Health Educator</td> <td></td> </tr> <tr> <td>Mr. John Thaw, Plant Quarantine Specialist</td> <td></td> </tr> </table>	Name	Affiliation	Harry J. Petroquin, Jr. Team Leader	TVT Associates, 503 Capitol Court NE Suite 300 Washington, D.C. 20002	Dr. Tung Au, Engineering Educator		Dr. John Conje, Agriculture Research Specialist		Ms. Mona Grieser, Health Educator		Mr. John Thaw, Plant Quarantine Specialist		140 days	\$109,961	App. 72-111102 P10/T#3-10024 PDNA-91-27399 -KG-13 Proj. #398-028 PDC-0085-I -9087-00 DEL. OR. #04
Name	Affiliation														
Harry J. Petroquin, Jr. Team Leader	TVT Associates, 503 Capitol Court NE Suite 300 Washington, D.C. 20002														
Dr. Tung Au, Engineering Educator															
Dr. John Conje, Agriculture Research Specialist															
Ms. Mona Grieser, Health Educator															
Mr. John Thaw, Plant Quarantine Specialist															
2. Mission/Office Professional Staff Person-Days (Estimate) <u>4 DAYS</u>	3. Borrower/Grantee Professional Staff Person-Days (Estimate) <u>10 DAYS</u>														

## 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> |
|--|--|

Mission or Office:  
AID/ASEAN LIAISON  
OFFICE, BANGKOK, THAILAND

Date This Summary Prepared:  
JULY 26, 1991

Title And Date Of Full Evaluation Report:  
Interim Evaluation, ASEAN Human Resources  
Development Project, July 26, 1991

1. Mission Initiating: The ASEAN/USAID Liaison Office developed the Scope of Work for this evaluation in accordance with criteria set forth in Annex I of Phase II of the Regional ASEAN Human Resources Development Project (398-0287) signed on March 3, 1987 and subsequent PILs. The evaluation was carried out by a five-person team contracted by OP/OS/ANE from TVT, Associates through PDC-0085-I-9087-00. Three weeks of field work were completed in July 1991 with the Final Report entitled "Interim Evaluation - ASEAN HUMAN RESOURCES DEVELOPMENT PROJECT (398-0287) submitted within 30 days thereafter.

2. Purpose of the Activity Evaluated: The broadly stated objective of the ASEAN HRD Project (Phase II) was to "...accelerate the transfer, adaptation and development of technology in selected areas that contribute to regional economic productivity." Four ASEAN regional institutions were addressed in individual subprojects under this activity to collectively train some 1,988 participants at the Masters Degree and Diploma level and in specially designed short-term training courses addressing specific regional requirements. The performance of each of these four regional institutions had to be assessed on its own merits under this activity. Each institution was assessed from the standpoint of demonstrated competency in program management, technical capability, financial integrity and relevance to regional needs. By their nature these ASEAN activities are designed, presented and implemented by the institutions themselves after having undergone the scrutiny and endorsement of the ASEAN organization in a rather complex approval and monitoring process. A.I.D. and other donors can monitor this process as well as the implementation of the activities financed at each of the ASEAN Centers and through the ASEAN Committees exercising oversight and program review functions. Such relationships with a regional organization are very different from a USAID field mission's traditional role in project implementation and must depend largely upon the modus operandi of ASEAN itself.

3. Purpose of the Evaluation and Methodology Used: This interim evaluation was undertaken to assess the progress to date of each of the four ASEAN Regional Centers in carrying out the A.I.D.-financed portion of its activities against benchmarks set forth in the PP. The annual Action Plans of these Centers, as approved by their Boards of Directors and endorsed by the A.I.D./ASEAN Liaison Office, were assessed against progress accomplished to date. Each Center undertook thorough preparatory work since the team had to produce a draft report within two weeks after its arrival. Such a time constraint was a fundamental factor in determining the methodology employed in the evaluation. The professional competencies of each of the team's members was brought to bear in a subjective fashion in a review of files, design documents, reports of ASEAN Boards of Directors and ASEAN Committees, visits to each of the ASEAN Centers, interviews with Center Directors, their staffs and personnel trained and being trained, and analysis of the ASEAN Centers' responses to the initial draft of this report.

4. Findings and Conclusions: The basic assumptions underlying the rationale for

Phase II of the ASEAN HRD Project proved to be essentially valid considering project accomplishments realized to date. Findings and their resulting conclusions are set forth in regard to each ASEAN Regional Center and the ASEAN organization itself as a recipient and implementing agent for regional assistance:

The Asian Institute of Technology (A.I.T.) - The AIT subproject under the PP has been amended to allow a twenty-one month extension of its PACD to complete the first phase of training programs introduced late in the project targeted at the private sector. No additional funding is contemplated for this project.

- During Phase II of this project A.I.T. has continued to excel and expand as a regional center of excellence in postgraduate engineering education patterned to address Southeast Asian's professional engineering needs. Its capacity to undertake applied research has also grown impressively. The short-term training courses financed under this project, which were tailored to focus on emerging regional priorities as they were identified, and to seek greater private sector participation in their exploration and resolution, have been highly regarded by those participating.

- AID financing of A.I.T.'s scholarship and training programs is now 4.49% of external support received. As A.I.T.'s reputation grows, so does its capacity to solicit contributions from public and private sources throughout Asia, Europe and North America. A.I.D. financing, which was the principal external source of support at the inauguration of A.I.T. in 1967, is now being supplanted by other donors and is about to be totally eclipsed by the dominant role of Japan as a donor and provider of personnel at this institution.

The SEAMEO Tropical Medicine and Public Health Project (TROPMED), under the joint aegis of ASEAN and SEAMEO continues to conduct short and long-term courses addressing the changing priorities in Public Health in the ASEAN region occasioned by rampant urbanization and rapid industrialization. It is moving into environmental health concerns with a view to involving more private sector institutions (health insurance companies; pharmaceutical firms and industries themselves) on the preventive, rather than the curative side of occupational and urban health issues. TROPMED's limited staff, which has hardly expanded since its inception 25 years ago, will require contracted outside assistance for this task. It should upgrade its facilities to retain more of an institutional memory before embarking upon expansion. With its SEAMEO sponsorship and its location at and support from Mahidol University, TROPMED should remain a viable regional entity.

- The ASEAN Agricultural Development Planning Center (ADPC) - Its location at and affiliation with Kasetsart University also assures the viability of ADPC. Its training component at the M.S. level is viewed as highly successful even though it is still marked by almost total dependence upon the faculty of Kasetsart University. It remains dependent because the internationalization of its own staff has been constrained by lack of more extensive ASEAN or other external support. It is meeting its training goals in short-term courses as well; a decade is too short a time frame to attempt any statistical sampling or assessment of institutional networking stemming from training conducted by ADPC to date.

- The ASEAN Plant Quarantine Center and Training Institute (PLANTI) has embarked upon an expansive program of research and training under the ASEAN HRD Phase II Project. This has enhanced its role and reputation in the ASEAN region as the focal point for plant quarantine. Within the region it is building a coordinated network of national plant quarantine services and extending its communications and relations with those in other geographic regions. Its facilities and the capabilities of its dedicated ASEAN regional staff are impressive. The breadth and scope of its activities are attaining a momentum of their own. This, and its proximity to and support derived from the College of Agriculture of the University of Malaysia and the Malaysian Agricultural

Research Center (MARDI), assure the continuing viability of PLANTI along with the contributions planned from ASEAN member countries.

ASEAN - As a coordinative project counterpart for AID or other donors, ASEAN remains a complex regional entity. Its prevailing modus operandi of consensus by committee does not make for a framework which can provide such institutions bearing the ASEAN label with guidance or coordination. At best it exercises a retroactive oversight of center activities, leaving these activities almost entirely to the capabilities and discretion of Center Directors and National ASEAN Committees of the nations hosting them. As a result regional centers are still viewed by the member states more in the national domain of the host country rather than in an ASEAN perspective.

Despite the organizational shortcomings of ASEAN in providing direction, guidance and coordination of such regional centers, a regional (as opposed to bilateral) mode of providing assistance and promoting relationships within and from without the ASEAN region, with both public and private sector entities, has some inherent advantages. Regional entities provide economies of scale, with excellent training being made available at a fraction of the cost of less relevant courses outside the region, and with little or no brain drain in the process. These ASEAN institutions address priorities defined by the ASEAN nations themselves. Moreover, they are progressively assuming a much more broadly conceived service role in the private sectors of member nations than any national entity would.

5. Recommendations for this activity: The ASEAN HRD Project has been maintained on track and is in the final stages of having run its course. It leaves in its wake a new cadre of highly trained personnel in place in the ASEAN region who are already playing meaningful roles in regional development. The regional centers this project assisted have all expanded their facilities and mandates in the course of this undertaking, some beyond what was foreseen at its outset in 1987. All have made provisions to accommodate private sector participation in the planning of and benefits derived from their activities. In return, greater private sector participation in the financing of both recurrent costs and expanding programs of these centers is a valid assumption. AID/ASEAN relationships should move from a role in strengthening ASEAN's institutional framework to addressing private investment and trade issues and environmental concerns of the ASEAN region during the next decade. The four institutions assisted under Phase II of this HRD Project now have the capabilities to undertake diverse facets of these latter undertakings.

6. Lessons Learned - ASEAN represents a conglomerate of Southeast Asian nations in various stages of development. There is no question regarding their collective capabilities in formulating viable project undertakings or in utilizing the array of regional centers fostered under Phase II of this HRD Project. The "Dialogue Partner" mode under which ASEAN assigns a single donor exclusively to a particular center mitigates against access by Center Directors to the mix of capabilities and resources within the external donor community.

A de facto placing of these ASEAN projects under the scrutiny and jurisdiction of each ASEAN National Committee places the burden and responsibility for their financial viability more on the host nation than ASEAN itself. This has contributed to the present pattern of reluctance to share recurrent and operational costs collectively.

ASEAN has yet to work out the mechanics of a collective annual assessment and establishment of a common fund to support either its regional projects or its other activities. Until a formula for such assessment is endorsed and put into place, any regional center must of necessity be hosted in close proximity to a national institution with capabilities in the same discipline to assure continuing financial viability. Unfortunately this in turn only reinforces the prevailing perception of these centers more as national, rather than as ASEAN regional entities.

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.)

INTERIM EVALUATION, ASEAN HUMAN RESOURCES DEVELOPMENT PROJECT (398-0287)

COMMENTS

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

This is a very complete and through evaluation. The recommendation and lessons learned that will benefit the final two years of project implementation and future training programs. The comments from the four grantees were also very favorable and the evaluation recommendations, especially those targeting project sustainability as they move into the final stage of this project.