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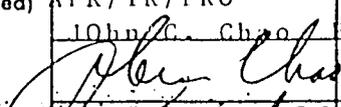
A.I.D. EVALUATION SUMMARY - PART I

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

IDENTIFICATION DATA					
A. Reporting A.I.D. Unit: Mission or AID/W Office <u>AFR/TR/PRO</u> (ES# _____)		B. Was Evaluation Scheduled In Current FY Annual Evaluation Plan? Yes <input checked="" type="checkbox"/> Slipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>89</u> <u>01</u>		C. Evaluation Timing Interim <input type="checkbox"/> Final <input checked="" type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>	
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)
698-0442	African Labor Development II	1985	12/1989	\$19,000	\$19,000

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		
I. Requesting comments/input from pertinent AID missions, AID/W offices, and State Department on evaluation report.	John C. Chao	6/16/89
II. Communicating with grantee (AALC) on comments received so that they can be taken into account together with the evaluation recommendations for drafting the proposal for the follow-on grant.	John C. Chao	8-9/89
III. Notifying AALC to adhere to the evaluation recommendations on progress reports as well as the end of project report of the current CA, especially with reference to assessment of progress against country program objectives and inclusion of financial information with breakdowns on country budgets and expenditures by program objectives.	Project Officer and AALC	10/89 - 3/90
(Attach extra sheets if necessary)		

APPROVALS			
F. Date Of Mission Or AID/W Office Review Of Evaluation:		(Month)	(Day) (Year)
		June	6, 1989

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
	AFR/TR/PRO John C. Chao	AALC, Exc. Dir. Pat O'Farrell	AFR/TR/PRO Randy Roeser	AFR/TR, Director Richard Cobb
Signature				
Date	6/17/89			

**ABSTRACT**

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

The African-American labor Center (AALC), an institute under auspices of AFL-CIO, has been implementing African labor development programs since the early 1960s. Throughout the years, AID has provided about 78 million dollars for AALC activities. Although the current cooperative agreement, which began in April, 1985 and will end on December 31, 1989, calls for an external evaluation by a joint AALC/AID team every two years, no evaluation has ever been undertaken prior to the present one. As a proposal for the follow-on grant is likely, an assessment of AALC programs under the current cooperative agreement is deemed necessary. This joint evaluation was conducted by a three-person team, two were AID consultants provided by Development Associates Inc. under an IQC arrangement and the other, an official of the AALC itself as stipulated by the cooperative agreement. The purpose of this "joint evaluation" was to assess AALC activities in achieving objectives and goals of the cooperative agreement of developing and strengthening free and democratic trade unions in Africa aimed at improving conditions of the labor populations. The conclusions and recommendations, however, are by the AID consultants alone. Thus, the evaluation emphasizes how AALC carried out its programs through a review of project documents; visits to four African countries purposively selected by the AID project officer in consultation with the AALC Executive Director to represent anglophone and francophone countries, both democratic and authoritarian regimes, as well as stages of development in trade union movements; interviews with a large number of officials of the State Department, AID and AALC, and union representatives; as well as personal observations by the evaluation team members. The major findings and conclusions are as follows:

- The AALC programs have been flexible and responsive to meet the various and diverse needs of the trade union movements in Africa under the specific African context and socioeconomic trends.
- AALC has managed the AID grant well, particularly considering the reduction of field personnel that was necessitated by overall budget cuts and the program changes.
- AALC has complied with AID instructions regarding its periodic reporting on project progress, but the reports are overly voluminous and not very useful for AID purposes.
- AALC's financial reporting meets AID requirements but does not provide information to accord with the objectives specified for the individual countries.
- Despite political constraints and severe economic conditions, the trade union movements in many African countries have matured during the past five years.
- In the African context, the trade union movements are primary examples of democratic pluralism.
- AALC programs have been successfully promoting rights of free labor, democratic pluralism, and private and voluntary activities. But "AALC programs awaits discovery by Africa Bureau personnel generally".
- AID should plan and budget for a follow-on grant to AALC with increased funding for expanding programs to meet various and diverse needs, such as for development activities, education programs, strengthening of labor union movements, etc.
- AALC-AID relations should be strengthened through activities such as conducting annual joint reviews of program progress, creating a new "Democratic Initiative" Office in the Africa Bureau, assigning the field monitoring responsibility for the AALC program to a USAID officer, and instructing USAIDs to consider using unions as intermediaries and/or implementors of AID funded development activities.

**COSTS**

**1. Evaluation Costs**

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
John H. Sullivan, Team Leader and James L. Roush	DAI	PDC-5317-I- 03-8127-00#3	\$59,115	Project
Patricia Topping	AALC	21 person days	N/A	Project
2. Mission/Office Professional Staff Person-Days (Estimate) <u>20</u>		3. Borrower/Grantee Professional Staff Person-Days (Estimate) <u>40</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:

Date This Summary Prepared:

Title And Date Of Full Evaluation Report:

AFR/TR/PRO

9/27/89

Joint Management Evaluation of the  
CA between USAID and AALC, 6/8/89

The African-American Labor Center (AALC) was created in the early 1960s by a joint decision of the U.S. Government and AFL-CIO to implement the FAA mandate on labor policy of strengthening the capabilities of labor unions and labor manpower institutions in African countries. The current cooperative agreement, which began in the Spring of 1985 and will end on December 31, 1989, is the continuation of AID's endeavor in this regard. This endeavor has been strongly supported by the U.S. Department of State because of its deep interest in the promotion of free trade union movements in African countries.

AALC has been implementing the objectives of cooperative agreement in four general areas: (1) country specific programs; (2) regional activities; (3) impact projects for countries usually without annual programs; and (4) International Trade Secretariats mainly supporting union-to-union projects.

The cooperative agreement calls for a joint AALC/AID on-site evaluation every two years "to measure and compare indicators of union activities" so as to identify issues, review progress reports, and generally assess the effectiveness of AALC programs. Prior to the present evaluation, however, activities undertaken by AALC since the beginning of the current CA have never been evaluated. Findings, conclusions, and recommendations of this evaluation are deemed important for both AALC and AID in negotiating a new grant agreement. The evaluation report was propounded to provide information as to what have been the targeted objectives AID has been financing, the kind of activities, the goods and services required, who the beneficiaries have been, what have been accomplished by the AALC activities, and how these activities are to be modified, if warranted, in view of changing conditions on the African labor scene.

The methodology used for this evaluation consists of a review of project documents on files at AFR/TR and AALC; interviews with pertinent officials at the State Department, AID, AALC, and host country union representatives; and visits to four African countries (Botswana, Kenya, Senegal, and Zaire) carefully chosen by the AID project officer after consultation with the Executive Director of AALC to represent diversity of African countries, ranging from geography, culture, political system, socioeconomic trend, as well as stage of development in which the trade union movement must operate. On the basis of countries they visited, the members of the evaluation team also interjected their personal observations in deriving their findings, conclusions, and recommendations.

The major findings of the evaluation report are as follows:

1. The salient features of the African context in which the trade unions operate are: predominant rural economies, single party governments, exacerbating problems of unemployment and underemployment due to precipitous economic decline, tripartate systems in which the government plays a major role in settling labor-management disputes, and multi-donor competition.
2. The principal trends affecting union movements have developed or intensified during the recent years: macro-economic structural adjustment program, decline of "African socialism" and rise of free market, and pragmatic regionalism.
3. The diversity of the trade union movement (in structures, programs, and impacts) is the most striking characteristic of trade unionism in Africa.
4. Within the diversity, there are also some commonalties. For example, in many countries in Africa, trade unions are the only significant demonstrations of democratic pluralism.
5. Many unions have increased substantially their development type programs, such as cooperatives, credit unions, and health and population programs, reflecting, in part, the difficult economic situation in most countries and the unions' inability to negotiate significant wage increases.

6. There are increasing number of women in the labor movement.
7. There has been a notable increase in labor peace.
8. Increasingly the development "Community" has become aware of the linkages between labor rights and economic growth which is specifically pointed out in the new foreign assistance legislation passed in the U.S. House of Representatives.
9. The AALC programs has been flexible and responsive. And the content of the AALC program has been modified to meet the changing needs.
10. AALC has managed the AID grant well.
11. AALC has complied with AID instructions regarding its periodic reporting on project progress. But the reports, both in content and format, are not very useful to AID.
12. AALC's financial reporting does not provide information to accord with the objectives specified for the individual country program and thus seldom amenable for the needed accountability.
13. The annual budget submissions have been excessive in volume and detail but make little reference to the long term objectives set forth in the original cooperative agreement..
14. The potential impact from the AALC program has been reduced because of: (1) the overall budget reduction resulting from expansion of programs in some countries without corresponding funding adjustment; (2) habitually late approval by AID of annual budget; and (3) the drop in the value of the dollar.
15. AALC and AID have developed a conflict relationship.

The major conclusions are as follows:

1. Trade union development in Africa has been circumscribed by a small formal economic sector, single party governments, and the severe economic conditions.
2. The trade union movements in many African countries have matured during the past five years to the extent that they have become increasingly involved in a wide range of services for their memberships that go beyond traditional labor "bread and butter" issues.
3. In the African context, the trade union movements are primarily examples of democratic pluralism, standing above tribalism, offering practice in democratic techniques, resisting government repressions, etc.
4. AALC programs promote rights of free labor, democratic pluralism, and private and voluntary activities. Many of the African trade unions have reached a level of maturity that enables them to act as intermediaries in programs which AID increasingly is carrying out through non-governmental organizations. Yet, for most part, AALC programs await discovery by Africa Bureau personnel generally.
5. To ensure a well managed, high quality program, reinstatement of some of the field representatives' positions will be needed.

The principal recommendations are:

1. AID plan and budget for a follow-on grant to AALC with increased funding.
2. AALC program the increased funding to: (a) expand programs that facilitate and support union-directed efforts in development activities; (b) maintain and expand education programs that emphasize leadership training and economics; (c) assist national federations to sustain their own programs so that AALC can begin phase out some country programs; (d) expand its support to selected regional institutions that enjoy the support of African union leaders; and (e) increase it field representation.
3. AALC increases its support to country programs through union-to-union activities and provides facilitation for host country unions to contact with USAIDs and other donors.
4. The budget process should be simplified and AID should strive harder to meet the annual increments of the approved budget.

S U M M A R Y (Continued)

5. Progress reporting should be streamlined and made more useful to AID.
6. AALC's financial reports should be made as a part of progress reporting and more accountable by a breakdown of country budgets and expenditures by program objectives.
7. AALC-AID relations should be strengthened in several fronts by: (a) conducting annual joint reviews of program progress at deputy director level; (b) the creation in Africa Bureau of a new "Democratic Initiative" Office; (c) assigning field monitoring responsibility for AALC program to a USAID officer; (d) instructing USAIDs to consider trade unions as intermediaries and/or implementors of AID-funded development activities.
8. A mid-course evaluation should be scheduled for the follow-on grant.
9. In the beginning of the last year of the follow-on grant, a regular evaluation should be scheduled, focusing more on assessment of the impact of the program, based on indicators specified in the new grant agreement.
10. AALC should augment its accounting capability so that it can provide financial data according to country and regional program objectives.
11. Africa Bureau should assign responsibility for the AALC program to an office, perhaps still to be created, that is concerned with the concern for political/economic linkages and the promotion of economic pluralism.

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.)

- I. JOINT MANAGEMENT EVALUATION OF THE COOPERATIVE AGREEMENT BETWEEN U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT AND AFRICAN AMERICAN LABOR CENTER (African Labor Development II - 698-0442), by John H. Sullivan, Team Leader, DAI, James L. Roush, DAI, and Patricia Topping, AALC
- II. COMMENTS BY MISSIONS, AID/W OFFICES AND STATE DEPARTMENT (Summary of comments are given in Section L below)

COMMENTS

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

AFR/SA (Fischer/Sherper Memo dated 7/21/89):

- 1. Evaluation report provides a much better appreciation of labor issues and programs in the region.
- 2. The AALC program in South Africa is absent in the report. The AALC program in South Africa should be separately evaluated in time.

STATE/AF/RA (Kern/Sherper Memo dated 5/30/89):

- 1. Evaluation report is a comprehensive and perceptive assessment of a program which is frequently little understood and little appreciated.
- 2. Following recommendations are impressive and should be seriously considered:
  - a. National trade unions be used as vehicles for further AID's development efforts in literacy, nutrition, and women's programs.
  - b. Increase linkages between economic growth and labor rights.
  - c. An increase in the AALC budget.
- 3. STATE/AF/RA disagrees with the report recommendation that the field monitoring of AALC programs be assigned to a USAID officer.

USAID/ABIDJAN (Abidjan 16332):

Mission has no comments.

USAID/CONAKRY (Conakry 3876):

Mission declines to participate in the evaluation exercise.

USAID/DAKAR (Dakar 8475):

- 1. For some time, post has favored an on-the-ground AALC representative in Senegal in order to monitor the developments of labor movements and encourage organized labor into constructive areas along the lines proposed in the evaluation report so as to promote U.S. Government objectives.
- 2. The report's general conclusions about the maturing and changing roles of the African labor unions are on the mark with respect to Senegal. CNTS and independent unions are increasingly involved in retraining and job creation activities, such as forming credit unions, construction of housing, etc.
- 3. Post supports the idea of taking advantage of the AALC infrastructure and expertise in an "Intermediary"/"Implementor of AID-funded development activities" roles.

USAID/GABORONE (Gaborone 4153):

Mission is encouraged by the superb work that African-American Labor Center has done with the Botswanan Federation of Trade Unions (BFTU) to support the labor movement in Botswana and looking forward to the continuation and strengthening of the relationships established to date.

USAID/KHARTOUM (Khartoum 8911):

- 1. The evaluation report provides a fair summary of labor developments in Sudan, 1985-1989, and the positive contributions of AALC during this period.
- 2. As Sudan's labor movements traditionally have played an important political and economic role in the country even during periods of military rule, their significance will almost certainly continue. The labor unions should be helpful in pressing for political liberalization and the development of new democratic institutions and must be taken into account in economic reform efforts.
- 3. The current USAID Director knows the AALC representative and hold him in high respect. Labor Federation involvement in relief or development activities associated with USAID can certainly be considered, but there are constraints including GOS approval, various USG regulations, and monitoring requirements.
- 4. The U.S. Embassy supports the AALC representative to the extent that laws and regulations permit.

## L. Comments by Mission, AID/W Office and Borrower/Grantee On Final Report

## USAID/KINSHASA (Kinshasa 12795):

1. Mission is in agreement with evaluation report recommendations for follow-on grant to AALC with increased funding, emphasizing increased union sponsored development activities and on training for union leaders in such critical areas as economic and democratic unionism.
2. To date, USAID and local AALC program have worked cooperatively in the areas of personnel training and implementation of the PL-480 program.
3. As a result of evaluation team visit, USAID has taken initiative to appoint AALC Liaison Officer, responsible for USAID/AALC coordination/communication. Mission will implement annual coordination/review meeting in cooperation with USAID, Embassy, USIS, and AALC representative.
4. Mission views recently completed evaluation as positive input into achieving cooperation between AALC and mission in areas of mutual interest.

## USAID/LOME (Lome 4501, LOU):

1. Because of the recent problems in CNTT, some of the AALC supported activities, such as women's programs, are not co\currently active.
2. Mission wishes to have more coordination with AALC. Post self-help funds have been used for CNTT projects and mission would like to have AALC fund some of the CNTT projects.

## AALC RESPONSE TO USAID/LOME (O'Farrell/Wentling letter dated 9/12/89):

1. AALC encourages African federations of trade unions to contact other donors for funding development projects as AALC does not always have the funds to help them.
2. Joint programs and future projects are being discussed with the CNTT's new Secretary-General. Without a resident representative in Togo, it is difficult to implement these programs. However, the AALC regional representatives stationed in Abidjan are instructed to make more frequent visits to Togo and to call on the Embassy and mission.

## USAID/MONROVIA (Monrovia 7760):

1. The recommendation for assigning field monitoring responsibilities to a USAID officer is not implementable.
2. Mission does plan to conduct annual reviews of program progress at the deputy director level with the resident AALC representative.

## USAID/NAIROBI (Nairobi 20352):

1. The evaluation is well researched, well organized and written in a clear and positive style.
2. The conclusions and recommendations reached by the evaluation team seem biased toward pressing for faster growth and more USAID support for labor programs in Kenya than either current trade union circumstances or USAID/Kenya mission's commitment to such activities to justify.
3. USAID/Kenya considers evaluation report's finding of African trade unions as primary examples of democratic pluralism as questionable since "in Kenya, where pluralism can be seen as divisive or tribalistic."
4. USAID/Kenya also considers evaluation recommendation to use labor unions as intermediaries in programs which AID increasingly is carrying out through NGO's as "a novel and questionable approach."
5. USAID/Kenya disagrees with evaluation recommendation that "a follow-on grant with increased funding is justified."
6. However, "if other mission concerns can be resolved, mission would consider supporting the expansion of AALC funding for increased activity in worker education, occupational safety and health, and additional constructive programs at the Tom Mboya Labor College."
7. USAID/Kenya concurs with the evaluation recommendations for USAID to play a more active and aggressive role in the management and review of AALC and trade union activities after weighing "the concerns and interests of the various USG agencies" as well as in country conditions.

## DAI Response (Sullivan/Sinding letter dated 8/2/89):

1. DAI regrets that the reception of evaluation report by USAID/Kenya "was so negative."
2. DAI views USAID/Kenya's questioning on evaluation finding of African trade unions as primary examples of democratic pluralism as too readily accepting "the rationale of the single party state."
3. African labor leaders are "recognizing their countries have been on a downward spiral and being willing to give up something for the national interest." And "labor often will have another view than the government and should make that view known in a responsible fashion."
4. Some USAID missions in Africa are letting the labor unions participate in some of AID's assistance programs.
5. African organized labor should be viewed as "development intermediary and not just a State Department political program."

## USAID/NIAMEY (Niamey 6728):

USAID/Niamey has no comments.

PPC/CDIE/PPE (Mason/Sherper Memo dated 7/25/89): .

1. A.I.D.'s commitment to democratic initiative projects is not always positive, often leaving the cooperators in a difficult, if not untenable, position.
2. Evaluation report gives no consideration to some of the more sensitive issues surrounding the support of union development, i.e., economic development vs. politically driven activities.
3. More attention might have been devoted to development of performance-based criteria for the purpose of designing, implementing, and evaluating on-going and future labor union development projects.

AFR/TR Comments:

1. Format and contents of AALC's progress reports (semi-annual, annual, and especially end of project reports) must be changed so more detailed and substantive information on project assessments and financial breakdowns of country budgets and expenditures by program objectives could be provided and made more useful to AID.
2. Prior to or at least concomitantly with the submission of the proposal for the follow-on project, AALC should provide some baseline data on trade union federation structure, strength, and social programs of labor unions against which progress could be measured. Both baseline data and progress indicators can be derived from the periodic surveys to be conducted by AALC.
3. An AID standard logical framework with clearly specified project goal, purposes, input and output indicators, means of verification, as well as important assumptions on African labor development and workers' rights should be included in the AALC's proposal for the follow-on project.