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USAID/ZAMBIA
HRDA
IMPACT MONITORING PLAN

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HRDA requirements contract

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ACRONYMS AND ABBREVIATIONS

AFGRAD	African Graduate Fellowship Program
API	Assessment of Program Impact
BAFO	Best and Final Offer
CAII	Creative Associates International, Inc.
CAU	Clark Atlanta University
CPSP	Country Program Strategic Plan
EOPS	End-of-Project Status
FP	Fixed Price (contract)
GDO	General Development Officer
GDP	Gross Domestic Product
GRZ	Government of the Republic of Zambia
HIRD	Human and Institutional Development Project
HRD	Human Resources Development Project (USAID/Zambia)
HRDA	Human Resources Development Assistance Project (USAID/Africa Regional Project)
HRDO	Human Resources Development Officer
IBRD	International Bank for Reconstruction and Development
IEC	Information, Education and Communication
IESC	International Executive Service Corps
IQC	Indefinite Quantity Contract
LOE	Level of Effort
LSGA	Limited Scope Grant Agreement
MCTI	Ministry of Commerce, Trade and Industry (GRZ)
MIS	Management Information System
NCDP	National Commission for Development Planning
NGO	Non-governmental Organization
PDO	Project Development Officer
PEC	Project Executive Committee
PIO	Project Implementation Order
PIR	Project Implementation Report
PSC	Personal Service Contractor
PSSU	Project Support Services Unit
PTMS	Participant Training Management System
RFP	Request for Proposal
SME	Small and Medium Enterprises
SSIAZ	Small Scale Industries Association of Zambia
TBD	To be Determined
TOR	Terms of Reference
TQM	Total Quality Management
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

A. Purpose

This purpose of this report is to present a plan for monitoring the implementation and impact of the USAID/Zambia Human Resources Development (HRD) Project. The plan includes an overview of the theoretical framework that guides the plan, draft instruments for collecting data on training impact, and guidance for analyzing and reporting data. The report also provides recommendations for selecting a local contractor to monitor the impact component of the plan.

In addition to this report, which was submitted in draft prior to the team's departure from Zambia, other deliverables submitted earlier to the Mission include: (1) a draft letter requesting local contractors to submit proposals for monitoring training impact, and (2) a plan for receiving feedback from the Mission on this draft report.

The plan was funded through a buy-in to the regional Human Resources Development Assistance (HRDA) project, which is implemented jointly by AMEX International, Inc. and Creative Associates International, Inc., both Washington, DC-based firms.

B. Approach

The 3-person team spent two weeks in Zambia in early November 1994 interviewing individuals from USAID/Zambia, Clark Atlanta University (CAU)/Lusaka office, training committees, training providers, as well as current and former HRD trainees. The team also conducted a thorough document review of project and Mission reports.

The general approach of the team was to: (1) maximize the usefulness of the monitoring plan by making it user-driven, and (2) minimize the resources required to implement the plan by building on existing procedures. This approach required that the team identify the information users, their priority issues, and the existing data collection and reporting procedures. This information is summarized in the form of an issues table included in the body of the report.

C. Theoretical Framework

The framework for the monitoring plan is based on: (1) the scope of work (SOW) for this assignment, (2) the logical framework, and (3) the Africa Bureau's methodology for measuring training impact. The team's SOW basically parallels the key elements of a logical framework — project goals, objectives, outputs, and inputs — which comprise the general categories of a series of

matrices that outline the priority issues, possible criteria for addressing the issues, data sources, and the team's concerns about monitoring each issue. Greatest emphasis is placed on monitoring the project objectives, or assessing impact from the training.

The plan for monitoring impact is based largely on the Africa Bureau's methodological framework, which is based on the definition of impact as "the economic, social, and political change that results from an intervention altering the quality of life for a nation or a designated subset of the population." The framework has the following characteristics:

- ***Development Impact Hierarchy***: the ability to monitor impact in one or more dimensions of change, including the individual trainee, the institution, the sector which is comprised of numerous institutions, and the target group that receives the benefits of the institutional or sectoral inputs.
- ***Development Impact Continuum***: the inclusion of all phases of the project cycle including design, implementation, and post-training. The successful completion of the phases leading up to development impact are considered to be preconditions to impact.
- ***Contextual Factors***: acknowledgement of factors — both within and beyond the control of project management and the trainee — that affect the degree and nature of the impact.
- ***Attribution, Causality, Criticality***: efforts to determine the extent to which impact was linked to the training and the likelihood that the change would have occurred without the training.

The data collection instruments were designed to capture information on these elements.

D. Elements of the Monitoring Plan

The key elements covered by the monitoring plan are:

Information Framework: The first step in developing the monitoring plan was to identify the key users of the information, what information they need, why and when they need it, and how precise it needs to be. The data resulting from this step formed the basis of the Issues Tables, and is the foundation for all proposed instruments and reports.

Data Collection: Much of the monitoring data should be collected through self-assessment of USAID, CAU, and the trainees. Information from the trainees should be collected through three written instruments (pre-workshop, end-of-workshop, and post-workshop), focus groups and case studies. Draft written instruments are included as an annex to the report.

Data Analysis and Reporting: Data analysis should respond to the needs of the key decision makers and project managers. Guidance for analysis of the written instruments, as well as suggested reporting formats, are included as annexes to the report.

Feedback: Feedback should be sought to improve the design, implementation, and evaluation of HRD throughout the life of the project. Open feedback on the reports should be routine among the program decision makers and the project managers.

E. Implementing the Monitoring Plan

Project Inputs — project management and funding — are to be monitored and reported by CAU and USAID. This basically involves reporting on financial status, involvement of the training committees, CAU implementation of the training plan, and USAID management of the cooperative agreement.

Project Outputs — workshops and materials — should be assessed by the trainees, trainers, and CAU to monitor quality, design, content, and achievement of objectives. Trainee evaluations will be collected through a workshop questionnaire and reported in the Training Providers' Workshop Report, which will form the basis of the CAU Workshop Report. Assessments made by CAU and training providers will also be included in the workshop reports.

Project Objectives — achieving impact on individual trainees, their firms, and the formal private sector — should be monitored by written, retrospective self-assessments by the trainees, with the possibility of focus groups and case studies. A local contractor will collect, analyze and report these data. This monitoring plan includes recommendations for accessing the services of a contractor to monitor impact, and a draft scope of work with various options for levels of effort.

Project Goal - an assessment of overall significance of USAID-sponsored training vis-a-vis nationwide needs and target group needs — were addressed with USAID officers while the HRDA Washington team was in-country. The findings are documented in this report and should be summarized in each USAID Project Implementation Report (PIR).

F. Next Steps

During the team's work in-country, a number of issues arose that could not be resolved by the team. These issues were generally beyond the team's scope of work or time allotments, and related to project design, management, and implementation. The issues include:

- Breadth versus depth of the training plan.
- The feasibility of the current CAU training plan, including the Information, Education, and Communication (IEC) plans.
- Roles and responsibilities, as well as cost-effectiveness, of the current CAU management structure.

- Selection criteria for trainees and training providers.
- Roles, responsibilities, and meeting schedule of the training committees.
- Role of the USAID Participant Training Management System (PTMS).
- Sustainability of the training program (implementing workshops) and of the training outcomes (realizing impact).

USAID, in concert with CAU and the training committees, should address these issues in the near future and make alterations to the training and implementation plans accordingly.

ZAMBIA HRDA IMPACT MONITORING PLAN

I. BACKGROUND TO USAID/ZAMBIA'S HRD PROJECT

Historically, USAID/Zambia has been active in training Zambians under a variety of programs. The Mission supported training under the regional African Graduate Fellowship (AFGRAD) Program I, II and III which ran from 1963-1993. In recent years, the Mission has sponsored training through the AFGRAD successor project, African Training for Leadership and Advanced Skills (ATLAS), another regional project for technical degrees and short-term post-graduate studies.

The first Mission bilateral training project to sponsor in-country training was the Human and Institutional Resources Development (HIRD) project. HIRD, which was implemented from 1985-1991 by an institutional contractor, focused on public sector training.

In 1991, USAID/Zambia began participating in the regional Human Resources Development Assistance (HRDA) Project which had become available to Missions in 1988. Each HRDA project is designed by the participating Mission in cooperation with the host country. Funds are obligated through a buy-in after the signing of a Limited Scope Grant Agreement (LSGA) between the USAID Mission and the host government. The first LSGA for HRDA/Zambia was signed on September 19, 1991.

In the first two years (1991-1993), the project was managed by a Personal Service Contractor (PSC). USAID/Zambia also continued to rely on the counsel and involvement of the Project Executive Committee (PEC), founded under the HIRD project. The membership of the PEC evolved from a board of public sector individuals to one that is now predominately from the private sector. The chair of the PEC was originally a high level representative from the Permanent Secretary of the National Commission for Development Planning (NCDP).

During the period 1991-1994, 532 Zambians received training, primarily in-country, through HRDA.¹ The Mission exceeded the regional HRDA target of 35 percent participation by women, with 249 women trained (47 percent). During the initial years, HRDA focused on assisting Zambia in its economic recovery program with training in privatization, entrepreneurship, management and policy development.

¹Source: PTMS Project Status Report, October 31, 1994. These figures do not include in-country training implemented by CAU, since these records had not yet been entered into PTMS.

With the beginning of a major privatization project by USAID/Zambia in the early 1990s, the Mission decided it was important to refocus the HRDA project. The focus of the project was deliberated in February 1992 when a Project Implementation Seminar was held in Siavonga, Zambia, with the facilitation assistance of the Coverdale Organization of Washington, DC. Twenty-three key public and private sector officials and individuals, and USAID staff, participated in this seminal event where the training needs, implementation and the role of the private and public sectors in Zambia were discussed. One of the outcomes of the seminar was to change the name of the project from HRDA to the Human Resources Development (HRD) project, dropping the word "Assistance" since it might imply an unequal partnership.

Given the contractual limitations of PSCs in terms of administration and procurement, the Mission signed a Cooperative Agreement with Clark Atlanta University (CAU) to manage and implement the HRD project for two years, from October 1, 1993 through September 30, 1995.

Under CAU, the HRD project focuses on owners and managers of Small and Medium Scale Enterprises (SMEs). With the shift in focus also came a shift in the relationship with the government of Zambia; HRD now works with the Ministry of Commerce, Trade and Industry (MCTI) which is responsible for private sector development. The Permanent Secretary of MCTI serves as the PEC Chair. The transition from NCDP to MCTI was an extremely smooth one. The Training Sub-Committee, which began under HRDA, has continued to be involved in the design and implementation of HRD and is intended to meet monthly.

In 1994, USAID/Zambia requested assistance from the regional HRDA project to develop a monitoring plan for the project, which is described in the following section.

II. SCOPE OF WORK

A. Objectives

The objective of this contract was to design a monitoring plan for assessing USAID/Zambia's HRD project implementation and impact. The assistance was provided through a HRDA-sponsored team from Washington composed of three professionals:

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Elizabeth Torrey, USAID International Program Specialist
Melanie Sanders-Smith, Creative Associates Training Evaluation Specialist

B. Tasks

The scope of work (see Annex A) included five major tasks:

1. Review the Clark Atlanta University (CAU) written training strategy to analyze project training activities' relationship to the CPSP, target populations and the month-by-month outline of the courses the project will offer between the current date and September 1995 (end of CAU contract).
2. Develop instruments and a methodology to assess the training courses, trainers, design, content and achievement of training objectives.
3. Develop instruments and a methodology to assess the impact of project training on the trainees, their employing institutions and the private sector in Zambia.
4. Develop instruments and a methodology for evaluating the project's management — including the contractor, the project training sub-committees and the USAID/Zambia Mission.
5. Specify indicators for the assessment of overall significance of USAID sponsored training activities vis-a-vis nation-wide needs and target group needs.

C. Deliverables

The major deliverables of this contract were:

1. A complete plan for monitoring project impact, with a methodology, assessment instruments and plan for applying the instruments developed.

2. Criteria for a newspaper advertisement requesting local companies or individuals to apply for a contract to administer the assessment instruments.
3. Guidelines for the USAID/Zambia Mission to screen and select a local contractor to administer the assessment instruments.
4. A plan for receiving written feedback from the Mission on the draft report for incorporating into the final report following the team's departure from Zambia.

Deliverables 1 and 3 are included in this document, with deliverables 2 and 4 as separate documents. While in-country, task 2 was modified; rather than providing "criteria for newspaper advertisement..." the team was asked to "draft a letter..." requesting local firms to apply for the monitoring contract.

D. Team Schedule

The team's schedule (see Annex B) began on October 31, with team meetings as well as group and one-on-one interviews with USAID staff, CAU/Lusaka staff, former and current trainees, training providers, and project committee members (see Annex C). In addition to the interviews conducted in Lusaka, individuals were interviewed at a training site in Livingstone. The team also reviewed numerous relevant documents before arrival in Zambia and while in-country (see Annex D). A debriefing was given to the Mission and the CAU/Lusaka staff on November 10, and the final draft report was submitted on November 13, at which time the team departed for the United States. The Mission submitted comments which were subsequently incorporated into this report.

III. TRAINING FOR IMPACT

The Impact Monitoring Plan presented in this report is based on USAID/Washington's training impact evaluation methodology developed in 1991² and a subsequent report entitled *An Integrated Methodological Framework for Enhancing and Evaluating the Development Impact of Training*.³ While the first document laid the foundation for the framework, the latter document advanced it to a more operational level. The framework has been applied and tested in various ways in Swaziland, Rwanda, Tanzania, and Cameroon.

This is the first effort to develop a plan for monitoring impact using the framework at the Mission level. It is also the first attempt to focus solely on in-country training, on a single field of study, and on a narrow target group. Although the plan was designed around monitoring the management and impact of short courses for owners/operators of small and medium-scale enterprises (SMEs), it is guided by the general impact framework. In turn, the practical application of the framework by USAID/Zambia will serve to further inform the methodology.

The USAID/Zambia monitoring plan responds to the SOW developed for the HRDA team from Washington and draws on aspects of several models widely used in evaluating international development interventions. These models incorporate different approaches, such as (1) measuring achievements against stated program goals and project purposes (using the logical framework as an evaluation tool); (2) reconstructing pre-training conditions, in the absence of reliable baseline data, based on perceptions of the trainees; and (3) analyzing leading indicators that are specific to the intervention. The proposed methods and instruments rely in the monitoring plan on social science research, including written survey questionnaires, focus groups and case studies.

A. Defining Impact

The methodological framework mentioned above defines impact as "the economic, social and political change that results from an intervention altering the quality of life for a nation or a designated subset of the population."⁴ Based on this definition, evaluating impact should aim to:

- measure (or estimate) the economic, social, or political change induced by an intervention (in this case training);

²Herb Turner, Brenda Bryant, Andrea Bosch. *A Training Impact Evaluation Methodology and Initial Operational Guide*. Creative Associates, USAID/AFR/TR/EHR, October 1991.

³Also prepared for USAID/AFR/TR/EHR by Creative Associates, August 1993.

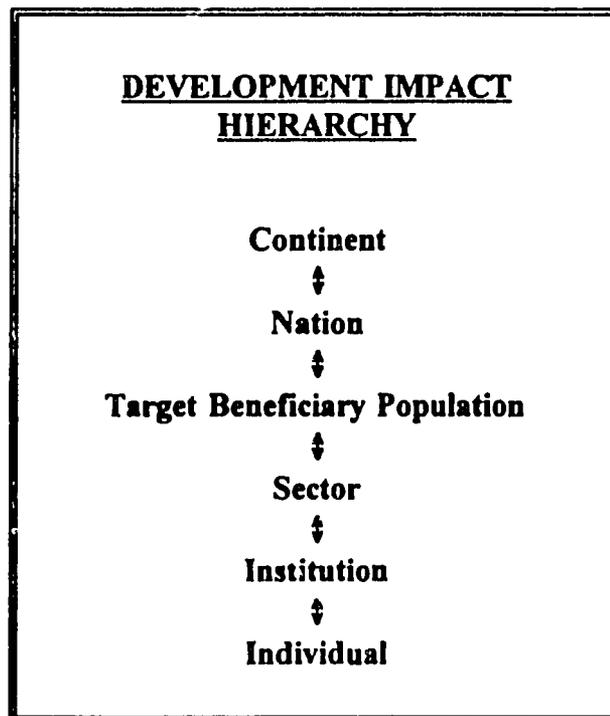
⁴ *Ibid*, p. 1-1.

- determine the extent the change was attributable to the intervention;
- estimate the extent the intervention was critical to the change;
- reveal how and why the change occurred, in part by considering the design and implementation of the intervention; and
- assess the role played by internal and external factors.

B. The Theoretical Framework

To design or conduct an evaluation of training impact, a theoretical framework is used to guide the observers to reasonable conclusions. These conclusions in turn can inform development planners about the value — and relative efficiencies — of the training. In other words, human resources development should be more than an act of faith. HRD interventions should be subjected to the same requirement to show positive impact as other development interventions. Further, programmatic decisions concerning candidate selection, training designs, and follow-up efforts should be based on lessons learned from previous programs.

The theoretical framework stipulates that impact, or induced change, occurs at various levels, from the individual trainee through the institution, sector, nation and occasionally, the region. It recognizes that, while the levels are interrelated, an observer can view change through the assistance of a construct which requires impact measurement at each of these levels, a *development impact hierarchy*.



With the trained individual as the agent for change, an institution must coordinate, energize, and diffuse change in order for impact to occur beyond the trained individual. In the case of the USAID/Zambia HRD project, the link between the individual and the institution is strong since the trainee is most often the owner/operator of a small business firm. Thus, the individual trainee has considerable control over the firm's ability to affect change; if the capacity and performance of the trainee improves, the capacity and performance of the firm is likely to improve.

Further up the hierarchy, but largely beyond the control of the training intervention, the sector must absorb and integrate improvements introduced by institutions. At the country level, change needs to be supported through policy enhancements, macro-analysis and an economic and social system conducive to change.

As the development hierarchy can help us view impact vertically, stages of the development process can help us view impact horizontally over time. A horizontal presentation of the impact, or the *development impact continuum*, allows the evaluator to assess effects of training at several points in time. The design and delivery of training, for example, can be measured at the end of a course, while the application of training can be measured two or three months after training, and the institutional impact may be assessed one to three years later. Thus, the evaluator does not need to wait for years to determine whether the training has been effective. Further, as each stage is determined to be successful, it becomes increasingly likely that development impact will occur.

The development impact continuum also allows the evaluator to distinguish between the *preconditions* to impact and actual effect or changes. Before training can have the desired impact, it must be effectively designed and delivered in a way that will *increase the trainees' capacity*. In turn, the trainee must *apply the training* in a manner that affects the *capacity and performance of the institution*. These stages must occur before there is development impact from training and thus should be considered preconditions to impact. In the past, many efforts to assess training often ended at the first stage: if the target number of individuals completed training, the project was determined to be successful.

The continuum also allows program planners and decision makers to determine whether the intervention (or the project inputs, which are found at the left end of the continuum) can be linked to the sectoral or national goals (at the right end) that the USAID Mission is trying to achieve. These goals are articulated in the Country Program Strategic Plan (CPSP). There is growing pressure from USAID/Washington to link each project in the Mission's portfolio to the CPSP, especially in the case of bilateral projects. The following development impact continuum illustrates the linkage.

DEVELOPMENT IMPACT CONTINUUM

PRECONDITIONS TO IMPACT				IMPACT	
Development Intervention	Increased Capacity of Trainee	Improved Performance of Trainee	Improved Performance of Institution	Institutional Impact	Sectoral Impact
-->	-->	-->	-->	-->	-->
Design and delivery of training	Acquisition of skills, knowledge, attitudes	Application of training	Institutional changes in policies, practices, procedures	Economic effects of changes	Cumulative effects of institutional changes

When a change is identified, a link to the training intervention must be established to draw inferences that the training was related to the change. The key questions in determining the nature of the relationship between the change and the intervention revolve around:

- **causality** - Is each change in the development hierarchy and continuum a necessary, albeit insufficient, factor to explain change at the next level?
- **attribution** - Can the change be traced back to the training (the flip-side of causality)?
- **criticality** - What is the likelihood that the change would have occurred without the training?

There are no hard certainties here — no conclusive evidence that one activity causes a given change, since it is impossible to exclude all the factors that affect change or to control the variables. Nor can the reliability of the data be entirely assured, since evaluators must often rely on self-assessments from the trainees. Since it would be costly to control the variables, and virtually impossible to isolate all the factors, end-users of the evaluation data must accept that absolute causality, attribution, and criticality cannot be proven.

There are many *internal factors* that influence the extent to which the training will have an impact on the individuals, institutions, and sectors involved. Internal factors are those that are within the control of the project or the management of the firm. For example, the relevance and quality of the training that is delivered to trainees determines, in part, whether the training will be applied. There are also numerous factors internal to the management of the firm, such as the interest and commitment of superiors, colleagues, and subordinates to implement change. So, even if a training course were effectively designed and delivered, skills were successfully acquired, and the trainee made diligent efforts to apply the training, it would not result in impact if the organization could not absorb or diffuse the changes.

In addition, there are numerous exogenous constraints, or *external factors*. These factors include larger issues that are outside the control of the project management staff or the organization, such as government policies, economic conditions, and cultural and social practices and attitudes.

Returning to the continuum of impact, viewing the training process from the early stages — selection, design, implementation — through the post-training period, evaluators can attempt to isolate factors that affect the identified changes.

The monitoring plan, including the data collection, analysis and reporting guidance given in the body of this report is intended to provide USAID/Zambia with information on the impact of the HRD training program. It should also provide USAID/Washington with greater insight into the usefulness of this framework in assessing the development impact of training, and be of potential use to other USAID Missions wishing to design and evaluate training programs.

IV. MONITORING PLAN

The purpose of this plan is to provide guidance for regular and systematic monitoring that highlights critical information needed by decision makers and project managers, USAID/Zambia staff, local training providers, GRZ officials and project committee members. The information is intended to facilitate well-informed decisions about policies, implementation, and management at any given point during the HRD project.

The design for the monitoring plan was based on (1) the scope of work (SOW) for the HRDA Washington team, (2) the logical framework (logframe) used widely throughout USAID for designing and evaluating project assistance, and (3) the Africa's Bureau training impact methodology presented in the previous section. The team found that monitoring of HRD is occurring at several levels of project management, yet it is not systematically conducted nor documented. This plan recommends refinements, and some additions, that will standardize and add focus to collecting, analyzing, and reporting HRD's monitoring data.

The key characteristics of the plan are:

- **User-driven:** the plan was developed after the HRDA Washington team's discussions with those who will use the data resulting from this effort. The plan is intended to respond to their issues and concerns about the project, as well as focus data collection, analysis, and reporting on key issues. The plan does not recommend collecting any data for which there is no clearly defined use.
- **Built on existing systems:** the plan introduces few additional tasks and instruments, maximizing on those that already exist and coordinating with the Mission's PTMS database and standard USAID reporting requirements. Most new tasks will be performed by a local impact monitoring contractor to be identified by USAID/Zambia in the near future.

The main components of the plan include:

- Delineation of the end-users of the information and the key issues that concern them.
- Clarification of the project goal and purpose.

- Identification of leading indicators related to project management, workshop content and delivery, training impact, and contribution to the Mission's overall goal.
- Guidance on data collection as well as draft instruments for measuring training impact.
- Recommendations for analyzing, reporting, and giving feedback on monitoring data.

The plan is tailored-designed for the HRD project. Therefore, the issues and instruments relate specifically to monitoring and evaluating in-country, short-term training that targets SMEs. Virtually all HRDA-funded training in USAID/Zambia currently fits this description. However, the general approach could be applied more broadly for other projects in USAID/Zambia or other Missions.

The plan is also limited in its ability to measure progress toward previously established targets, traditionally found in the project logframe or in the signed contract. This is not possible, however, because no logframe was required or drafted in the early stages of the HRD Project. Several attempts have been made to develop a logframe in retrospect — one by CAU in early 1994 and one by the HRDA Washington team in late 1994 — but neither draft includes targets or objectively verifiable indicators. Furthermore, the current Cooperative Agreement with CAU does not specify expected outputs from the training — either in quality or quantity — or the indicators of impact. Neither does it have implementation targets or timetables. However, while there are no standards against which to measure progress and accomplishments, descriptive and analytical data derived from this plan will give end-users a sense of the project's successes and failures.

A. Information Framework

1. Information Users

The main users of the information generated from this impact monitoring plan and their need for information are outlined in the following table.

INFORMATION USERS

INFORMATION USERS	INFORMATION USE
USAID/Z Senior Management	Policy making and funding decisions
USAID/Z Project Officer	Project direction and management
CAU/Atlanta	Project direction and management
CAU/Lusaka	Project direction and implementation
Project Executive Committee	Policy making and project direction
Training Subcommittee	Project direction and implementation
Training Providers	Workshop design and delivery
USAID/Washington, AMEX/CAII	HRDA program implementation and evaluation methodology

2. HRD Project Goal, Purpose, Outputs and Inputs

To effectively manage, monitor, and evaluate a USAID project, it is important to be clear about contractual requirements and expected results. Identifying the goal and end-of-project status (EOPS) was the first challenge faced by the HRDA Washington team. In reviewing HRD project documents from the past few years, the team found a number of goal and purpose statements. They varied by content and level of specificity, with the most consistency among the goal statements. Some purpose statements tended to be more at the level of a goal (a higher purpose), while some were at a lower level and were characteristic of project outputs (e.g., the activities of the project).

In meetings with the USAID/HRDO and CAU/Lusaka's Project Implementation Officer, as well as meetings with USAID's General Development and Program Officers, the following statements were agreed upon:

HRD Goal: *Market-oriented economy established with broad participation.*

HRD Purpose: *Increased productivity and growth among existing SMEs in the formal private sector.*

It is important that the goal and purpose statements remain fixed throughout the remainder of the project, as consistent standards are imperative to monitoring and evaluating the project.

To facilitate the design and implementation of the monitoring plan, the HRDA Washington team attempted to draft a new project logframe, stating the goal, purpose, outputs, and inputs as well as indicators for determining whether the project was on target in these areas. This effort was impeded by a number of issues that the team was unable to resolve during their limited time in-

country and by their scope of work. The effort is documented in Annex E, which is accompanied by guidance for writing and interpreting a logframe, and a discussion of the issues encountered by the team. This may prove enlightening to any future effort to develop a logframe for the HRD project.

3. Priority Issues

With the aim of developing a monitoring plan that would be useful and focused, the HRDA Washington team first identified the most critical issues facing those who must make policy decisions about HRD and those who manage it from day-to-day. This was done through interviews and document reviews. The issues were prioritized and organized around the team's SOW, which included the following categories: project management, workshops, project impact, and the project's relationship to the CPSP. For each of the issues, criteria and instruments were identified that would help address them, as well as monitoring concerns.

For example, the table below addresses the second task of the team's SOW and is related to project management, or in logframe terminology "project inputs." The first "priority question" in this area is whether CAU implementation is on target, with the "possible criteria" being (1) actual versus planned activities, and (2) actual versus planned expenditures. Information to answer this question ("data source") should be included in the CAU Quarterly Report. "Issues and concerns" were identified either by the team or by the end-users, and they relate both to current practices and challenges that will be faced in project monitoring.

ISSUES TABLE #1

**SOW TASK 4
(Project Inputs)**

*Develop instruments and a methodology for evaluating **the project's management** — including the contractor, project training sub-committees and the USAID/Zambia Mission.*

PRIORITY QUESTIONS	POSSIBLE CRITERIA	DATA SOURCE (Instruments and Reports)	ISSUES AND CONCERNS
<p><u>CAU</u> 1. Is CAU project implementation on target?</p>	<p>1.1 Projected course schedule versus completed courses. 1.2 Projected versus actual expenditures; size of pipeline.</p>	<p>CAU Quarterly Reports USAID (Semi-Annual) Project Implementation Report (PIR) CAU Special Report</p>	<p>The Cooperative Agreement (CA) does not contain implementation targets or a timetable. However, the CA requires reporting be done in a way that would facilitate assessment of progress, but CAU's reports do not strictly adhere to the CA.</p>
<p><u>PEC and Training Subcommittee</u> 2. Are the committees able to provide input into design and management of HRD?</p>	<p>2.1 TORs are current and relevant. 2.2 Criteria are established for selecting and retaining committee members. 2.3 CAU provides members with project reports and other relevant information. 2.4 PEC meets on quarterly basis and subcommittee monthly.</p>	<p>CAU Quarterly Reports</p>	<p>Data should be collected and analyzed by CAU. CAU's report should contain a discrete section on management with a subsection on committee issues.</p>
<p><u>USAID/Zambia</u> 3. Is the Mission management consistent with the "substantial involvement" clause of the Cooperative Agreement? 4. Is Mission responding to information needs of USAID/Washington?</p>	<p>3.1 USAID requires CAU to meet CA terms. 3.2 USAID provides CAU with timely approvals and feedback. 3.3 Project and Mission management have regular contact with HRD team. 4.1 Required project data reported to USAID/Washington.</p>	<p>CAU Quarterly Reports USAID PIRs</p>	<p>CAU and USAID reports should contain discrete subsections that address these USAID management issues so that there is a clear record of USAID's involvement in HRD.</p>

ISSUES TABLE #2

SOW TASK 2 (Project Outputs)

*Develop instruments and a methodology to assess the **training courses**, trainers, design, content and achievement of training objectives.*

PRIORITY QUESTIONS	POSSIBLE CRITERIA	DATA SOURCE (Instruments and Reports)	ISSUES AND CONCERNS
<p><u>TRAINERS</u> 1. Are qualified trainers selected, trained, and retained by HRD?</p>	<p>1.1 Established criteria used for selecting and evaluating trainers.</p> <p>1.2 Trainers have completed CAU master training course or have similar experience.</p>	<p>Workshop Questionnaire</p> <p>CAU Workshop Report</p> <p>CAU Quarterly Reports</p>	<p>Transparency of process cannot be verified, thus it is difficult to know if best qualified trainers are being selected. Capacity building and institutionalization need to be documented.</p>
<p><u>DESIGN AND CONTENT</u> 2. Do the courses address the most pressing issues facing SMEs?</p>	<p>2.1 Trainers design/adapt syllabi and materials for local use.</p> <p>2.3 Mechanism established for using feedback from trainees during and after the courses.</p> <p>2.2 Satisfaction level is high among trainees regarding the relevance of training.</p>	<p>Workshop Questionnaire</p> <p>Training Providers Report</p> <p>CAU Workshop Report</p>	<p>CAU informal needs assessment appear to influence the design and content, though this has not been documented. Such documentation might allay decision makers concerns.</p> <p>Trainers have not yet been granted access to workshop questionnaires or videos.</p>
<p><u>ACHIEVEMENT OF COURSE OBJECTIVES</u> 3. Are the objectives of courses clearly stated, realistic, and met during the training course?</p>	<p>3.1 Advertisements and pre-course correspondence state training objectives.</p> <p>3.2 Trainees demonstrate understanding of course objectives.</p> <p>3.3 Trainees and trainers believe objectives were met.</p>	<p>Pre-Training Questionnaire</p> <p>Workshop Questionnaire</p> <p>Training Providers Reports</p> <p>CAU Workshop Report</p>	<p>Self-assessment should be adequate.</p>
<p><u>INFORMATION, EDUCATION, COMMUNICATION</u> 4. Have IEC materials (videos, radio/TV spots) been designed and disseminated in a way that will contribute to project impact?</p>	<p>4.1 Clear IEC strategy (purpose, audience).</p> <p>4.2 Production completed.</p> <p>4.3 Information and materials readily available/ disseminated to and used by target audience.</p>	<p>CAU Quarterly Reports</p>	<p>It is not clear what USAID expects of CAU in this regard nor is it clear what CAU intends to do.</p>

ISSUES TABLE #3

SOW TASK 3 (Project Purpose)

*Develop instruments and a methodology to assess the **impact of project training** on the trainees, their employing institutions, and the private sector in Zambia.*

PRIORITY QUESTIONS	POSSIBLE CRITERIA	DATA SOURCE (Instruments and Reports)	ISSUES AND CONCERNS
<p><u>Preconditions</u> 1. Have the preconditions to impact been met? ● completion of training, deliverables, output targets ● acquisition, increased capacity ● application, improved performance</p>	<p>1.1 Courses designed and delivered as scheduled. 1.2 Trainees acquired new skills, knowledge, attitudes, contacts. 1.3 Application of training resulted in changes in practices and behavior.</p>	<p>PTMS records Pre-Training Questionnaire Workshop Questionnaire Post-training Impact Assessment CAU Quarterly Reports</p>	<p>PTMS records are not current. Limited baseline data have been collected. Current design of pre-training questionnaire and workshop questionnaire make it difficult to ascertain what and how much trainees gained from courses.</p>
<p><u>Individual/Institutional Impact</u> 2. Has the HRD training had an impact on individual owners and their businesses? (short-term impact: 2-3 months)</p>	<p>2.1 Accessed credit 2.2 Expanded client base locally, nationally, and/or internationally 2.3 Awarded more contracts 2.4 Sold more products 2.5 Made more informed decisions</p>	<p>Pre-training Questionnaire Post-training Impact Assessment</p>	<p>Limited baseline data. It is challenging to identify indicators that can be applied to wide variety of businesses and range of courses and course objectives. However, if indicators are not comparable, it will be difficult to aggregate impact data.</p>

ISSUES TABLE #3

SOW TASK 3
(Project Purpose)
cont.

PRIORITY QUESTIONS	POSSIBLE CRITERIA	DATA SOURCE (Instruments and Reports)	ISSUES AND CONCERNS
<p><u>Sectoral Impact</u> 3. Has SME training had an impact on the formal private sector in Zambia? (cumulative, long-term impact: 1-3 years)</p>	<p>3.1 Increased gross revenues 3.2 Increased investments</p>	<p>Post-training Impact Assessment SSIAZ⁵ Database Other sources to be identified</p>	<p>No national statistics are currently published, thus one must hypothesize sectoral impact from measured institutional impact.</p>
<p><u>Internal Factors</u> 4. Have factors that are internal to HRD and firms affected capacity building, performance, and achievement of impact?</p>	<p>4.1 Applicability/relevance of training 4.2 Appropriate level of instruction 4.3 Attitudes of employees and family to change 4.4 Other demands on time and resources 4.5 Access to credit, equipment, materials, staff</p>	<p>Post-training Impact Assessment</p>	<p>More data are needed on planning, designing, and delivering in-country SME training that affect outcomes, as well as factors that are internal to SMEs' management.</p>
<p><u>Exogenous Factors</u> 5. Have factors outside the control of HRD and the firms affected impact?</p>	<p>5.1 Economic conditions 5.2 Cultural/legal biases against women 5.3 Government policies 5.4 Attitudes/policies of banks 5.5 Strength of competitors 5.6 Availability of skilled labor, equipment and raw materials</p>	<p>Post-training Impact Assessment</p>	<p>These factors are fundamentally "assumptions" that are critical to impact. Identification of exogenous factors give context and help explain the impacts or lack of impacts.</p>
<p><u>Causality/Attribution/Criticality</u> 6. Is impact a result of the training? Is impact attributable to the training? Is the training critical to impact?</p>	<p>6.1 Impact linked to HRD training. 6.2 Likelihood that impact would have occurred without HRD training.</p>	<p>Post-training Impact Assessment</p>	<p>Although it is usually difficult to objectively verify attribution and criticality of development assistance interventions (especially without control groups), trainees are able to speak to these issues with a high degree of confidence.</p>

⁵ Small Scale Industries Association of Zambia

B. Data Collection

This section covers all aspects of the HRD project — project inputs, outputs, purpose, goal — with primary attention given to collecting data on the project purpose.

1. Input Level

Collecting data on HRD at the input level — project management — generally involves informal assessments of management activities and performance of CAU, the project committees, and USAID.

CAU should be responsible for collecting information on CAU's (a) projected and actual implementation schedule and (b) projected and actual project expenditures, as well as the committees' (c) Terms of Reference, (d) membership selection criteria, (e) contact with CAU, and (f) meeting schedule.

USAID/Zambia should collect information and report on the following key issues: (a) adherence to the CAU Cooperative Agreement, (b) Mission approval and feedback on CAU activities and reports, (c) Mission management's contact with the project, and (d) the Mission's reporting to USAID/Washington.

2. Output Level

Data collection on project outputs — workshops and IEC — should continue to be the responsibility of CAU. The focus of the data collection should be on: (a) qualifications of the trainers, (b) design and content of the workshops, (c) achievement of workshop objectives, and (d) IEC activities.

CAU will rely on Workshop Questionnaires and the Training Providers' Reports to prepare CAU Workshop Reports and CAU Quarterly Reports that document project outputs.

3. Purpose Level

Primary responsibility for collecting data on the project purpose — achieving impact — should be assigned to the local impact monitoring contractor, that is to be selected by the Mission. The contractor also will rely on data collected by CAU in the Pre-Workshop Questionnaire and the Workshop Questionnaire.

The HRDA Washington team recommends using three standard data collection methods to ascertain training impact:

- Intermediate Method - using self-administered questionnaires distributed to all project participants, and contractor-administered focus groups with purposely selected participants.

- Case Study Method - detailed follow-up interviews with selected participants and other key informants, at several points in time.
- Secondary Method - using existing USAID data, such as PTMS reports.

The HRDA Washington team does not recommend the development of a statistically significant, random, representative sampling of the universe of trainees due to two factors: the unavailability of baseline data for comparison purposes for the universe of trainees, and the inability to administer the questionnaire randomly to trainees, as some will be trained near the end of the data collection exercise.

The three training impact monitoring instruments described below are: pre-training questionnaires; workshop questionnaires; and the post-training impact assessment instruments.

a. Pre-training Questionnaires

Before each workshop, CAU currently collects basic information on trainees. The HRDA Washington team recommends that CAU continue this practice and has suggested some changes in the format and content of the Pre-Workshop Questionnaire (see Annex F). The revised questionnaire collects information on personal data, educational experience, language skills, business information, training background and expectations, and baseline on additional issues related to impact.

b. Workshop Questionnaires

In any training environment, immediate evaluation is needed from trainees regarding the process and expected outcomes of the training workshop. The revised Workshop Questionnaire (see Annex F), will collect data on workshop objectives, content, materials, methods, trainers, facilities, administration, and future plans of the trainee. The resulting data should prove helpful to project managers and training providers for improving future workshops, and will supplement the impact data collected by the impact monitoring contractor.

c. Post-training Impact Instruments

The HRDA Washington team offers three methods for collecting data on training impact. They include a post-training impact questionnaire, focus groups, and case studies.

The purpose of the *Post-training Impact Questionnaire* is to update personal information for CAU and USAID tracking, as well as assess the following aspects of development impact: acquisition of skills, application of skills, improved performance of the business, impact on the business, and impact on the private sector. In addition, the proposed instrument includes questions regarding attribution, causality, criticality, as well as internal and external factors related to training impact.

The questions regarding preconditions to impact and impact are based on the table below, "Table of Indicators for Assessing In-country SME Training Workshops Over Time." To complete the

table, the HRDA Washington team reviewed the workshop objectives, with the exception of two workshops (MIS and Human Resources) that were not included in CAU's April 1994 Strategic Planning Document.

The team had limited information to complete the table, and recommends that CAU carefully review and refine it. The questionnaire must then be revised accordingly. This will assist CAU in implementing the training plan for the remainder of their Cooperative Agreement, and will provide USAID with the assurance they are seeking that the workshops are, in theory at least, linked to significant sectoral indicators (i.e., revenues and investments).

The table represents the team's attempt to link the workshop objectives to the sectoral impact indicators (increased revenues and increased investments) by inferring what actions and impact would have to occur to move from one stage to another. So, for example, with the marketing workshops, trainees should acquire new marketing skills (indicating increased capacity of the trainee) that they would then apply to their work by developing a marketing strategy (improved performance of the trainee). A marketing strategy should then result in the firm seeking new markets (improved performance of firm) and hopefully expand the client base locally, nationally or internationally (impact on firm). In turn, this should result in increased revenues (sectoral impact).

The indicators listed in each column of the table were converted into questions that are found on the Post-training Impact Questionnaire. The questionnaire also includes questions that will indicate the internal and external factors constraining or contributing to impact, as well as attribution and criticality. All questions were based on the Issues Table, except those regarding biographical data.

Most questions can be easily coded, tabulated and cross-tabulated, with the exception of a few open-ended questions. The open-ended questions need not be coded, but can form a pool of examples and can be cited as quotes.

DRAFT
TABLE OF INDICATORS FOR ASSESSING
IN-COUNTRY SME TRAINING WORKSHOPS OVER TIME

PRECONDITIONS TO IMPACT			IMPACT	
INCREASED CAPACITY OF TRAINEE --> (Acquisition of skills, knowledge, attitudes, contacts)	IMPROVED PERFORMANCE OF TRAINEE --> (Application of Training) (Primary expected application)	IMPROVED PERFORMANCE OF INSTITUTION --> (Primary expected change)	INSTITUTIONAL IMPACT -->	SECTORAL IMPACT
New skills in business planning and basic finance	Prepared book of accounts Prepared business plan	Improved financial analysis and management Used plan to apply for loan and/or to guide business decisions	Made more informed decisions Accessed credit	Increased Revenues Increased Investments
New skills in marketing	Developed marketing strategy	Approached new markets	Expanded client base locally, nationally, and/or internationally	
New skills in business contracting	Prepared tender	Increased quantity/quality of tenders	Awarded more contracts	
New skills in management information systems	TBD (course objectives not available)	TBD	TBD	
New skills in design and productivity improvement and TQM	Introduced quality control techniques	Improved quality of products	Sold more products	
New skills in production management	Introduced improvements to production management	Increased production	Sold more products	
New skills in accounting and finance	Improved record keeping and accounting	Improved financial management	Made more informed decisions	
New skills in human resources management	TBD	TBD	TBD	
TIMETABLE				
By the end of the workshop	Within 3 months of workshop		Within 1 - 3 years	

The HRDA Washington team recommends administering the post-training questionnaire at two points in time: (1) three months after the completion of training, and (2) again at approximately one year or more after training. The two points in time have been chosen based on the team's experience and the feedback of Zambian training providers, trainees, and HRD project staff. The three-month juncture provides data on performance at the work site. At the one-year juncture, monitoring data should reveal the impacts the training has had on the individual businesses and the private sector.

To date, trainees have been willing to respond to written questionnaires before workshops, and it is assumed that a significant proportion will respond after workshops.

Administering the questionnaire would be the task of the local contractor who would finalize and mail the questionnaire with a stamped self-addressed envelope to all participants at the relevant times. The trainees would then be asked to fill out and return the questionnaires to the local contractor. The results would then be tabulated and analyzed by the contractor, and form the basis for quarterly reporting to USAID/Zambia on impact.

CAU should be required to prepare contact information on the trainees and provide copies of the Pre-training Questionnaire and Workshop Questionnaire to the local contractor.

The HRDA Washington team also proposes that *focus groups* be conducted by the contractor to supplement the proposed Post-training Impact Questionnaire. Focus groups are not intended to be statistically representative, but it is assumed that the information gained from purposely selected groups will provide more in-depth and qualitative insights about training impact. The technique relies on self-assessment, retrospection, and to some extent, on group consensus. Through a synergistic effect resulting from the group dynamic, focus groups allow individuals to probe more deeply into a limited number of issues, and provide information of a valiative nature not formally organized in advance. Focus groups require a facilitator who uses a preset guide to lead discussions. Focus group interviews should be carried out in four provinces, representing four different types of training. Five to ten people who shared the same training program should be reconvened for a two or three hour session at approximately six months after completion of training. These focus groups should generate qualitative data that will require interpretation by the local contractor in a summary report.

Focus group participants should be chosen by CAU in collaboration with USAID/Zambia, under the direction of the local contractor.

Case studies are proposed to give USAID/Zambia even greater depth of information on a few trainees who have been particularly successful or unsuccessful. The HRDA Washington team recommends choosing two or three trainees and tracking their progress to better understand how capacity building, application, performance improvements, and business growth are related to

HRD training. This technique relies on self-assessment as well as perceptions of key informants (staff, family, banks, clients) and business documents. The information is then written up as a textual description of the firm or trainee with reference to both qualitative and limited quantitative data. The completed case studies should form part of the local contractor's final report. The choice of trainees to be featured should be the responsibility of CAU in collaboration with USAID/Zambia, under the direction of the local contractor.

4. Goal Level

There is no need for HRD to conduct on-going monitoring of the project goal, since HRD is only one of the Mission's projects contributing to this goal. However, each PIR should document the following, which are related to the goal-level issues identified by the key information users:

- Human resources is a priority constraint in Zambia's development (as verified in the CPSP).
- The targeted groups are receiving training (as indicated in the Annual Training Plan and verified by PTMS reports).
- The project goal is tied to CPSP subgoal #1.
- Project outputs and purpose indicators are quantitatively and/or qualitatively significant in terms of the potential impact on private sector development.
- There is a plausible link between the workshops and the goal of HRD.
- HRD activities complement other USAID/Zambia activities.

The text, once agreed upon by USAID managers, should remain constant throughout the PIRs.

C. Data Analysis

Analysis of the data collected through this monitoring plan should be done in relationship to the priority questions, addressing the issues and concerns that the end-users have (see Information Users, Annex I). If however, data analysts discover other significant issues, these should be reported.

Generally, analysis of the training impact data derived from the proposed data collection instruments should cover such issues as:

- What changed? At what level of the Development Impact Hierarchy did the change occur? What was the nature or extent of the change?
- Which preconditions (acquisition of skills, application of skills, etc.) have been met?
- What is the relationship of the change to the training? Was the training critical to the change?
- What was the relationship of internal and external factors to the change?
- What is the significance for future management decisions and actions?

Annex G includes specific guidance on analyzing the three proposed questionnaires.

D. Reporting

With the data collected, tabulated and analyzed there are a variety of reports, most of them contractually required, that are to be produced by CAU, training providers, the impact assessment contractor and USAID/Zambia. The reports are:

- PTMS Reports
- Training Provider Report
- CAU Workshop Report
- CAU Quarterly Report
- Quarterly Impact Report
- USAID Project Implementation Report (PIR)
- CAU Special Reports

The main purpose of these reports is to provide focused information to project managers and decision makers, and thus should be designed and written with the end-user in mind. These reports are required to provide USAID, the committees, and CAU with information on project management, workshops, and training impact. The content, format and subject headings should reflect this and information or data that is extraneous to this purpose should not be a part of these documents. Special issues can be handled in a separate memorandum or report, if necessary. (For reporting guidance, see Annex H.)

Participant Training Management System Reports for the HRD Project should be done on a quarterly basis by the USAID Training Specialist, reviewed by the USAID HRDO and presented to management. USAID management may have a need for tailored or special reports that can be easily produced by PTMS. Such reports might include gender information, such as number, education level, and/or geographic location of women trained.

The Training Provider Report should be produced by the trainers upon completion of each workshop. The report should, in part, be based on the Workshop Questionnaires. In turn, it will serve as a basis for the CAU Workshop Report. This requirement will further involve the trainers in the process of design, delivery and evaluation of services, and will ease the reporting burden of CAU. To streamline the process, CAU may choose to attach a short introduction to the Training Provider Report that highlights issues of particular importance and proposes solutions to problems. The *CAU Workshop Report* thus becomes a package that includes an introduction by CAU, the Training Provider Report, and Workshop Questionnaires among other relevant attachments.

The CAU Quarterly Report is produced by CAU/Atlanta and CAU/Lusaka and submitted to USAID every three months. The requirements for the report are specified in the Cooperative Agreement and should be strictly adhered to. In addition, the HRDA Washington team recommends refinements in the content, format, and length of the reports in a way that makes them more focused on the needs of the audiences (see Annex H). Project managers and decision makers need text that is presented succinctly and is complemented by graphs (charts and tables), so that readers can get a quick understanding of the status of the project.

The Quarterly Impact Report is a new report recommended by the HRDA Washington team. It should be submitted to CAU, training committees, and USAID/Zambia by the local impact monitoring contractor. The report will be based on tabulation and analysis of questionnaires, focus groups and case studies. The Quarterly Impact Report should help managers and trainers make necessary improvements in training design and delivery. The report's primary purpose, however, is to document and explain impacts that are related to HRD training.

The Project Implementation Report is a semi-annual report and short-term action plan written by the Mission HRDO. It is a key reporting requirement for all project offices, including HRD, which is reviewed by Mission management; key decisions are made based on this report. Information from the reports described above assists in the development of the PIR.

As stated in the Cooperative Agreement, CAU is required to submit *Special Reports* when issues arise between reporting periods.

E. Feedback

It is the primary role of USAID/Zambia, including the HRDO and Mission management and the committees, to provide feedback to the HRD Project implementor, CAU. In reviewing the above listed reports, the managers and decision-makers should seek clarification, ask questions, raise issues of concern, make suggestions, and encourage success. Project monitoring cannot occur without careful review of reports and regular feedback to CAU.

F. Timetable of Roles and Responsibilities

The following table outlines the main tasks (vertical rows) that comprise HRD project monitoring. The (horizontal) columns list all the major players, and the intersection of each row and column indicate who is responsible for which tasks. The codes within each cell indicate the frequency of the tasks.

**USAID/ZAMBIA HRD
IMPACT MONITORING PLAN
TIMETABLE OF ROLES AND RESPONSIBILITIES**

	CAU	Impact Contractor	Training Committees	Training Providers	USAID HRD	USAID/ Mgmt.
DATA COLLECTION						
Pre-Training Questionnaire	W					
Workshop Questionnaire	W					
Impact Assessment		O				
DATA ENTRY						
Pre-Training Questionnaire	W	O				
Workshop Questionnaire		W		W		
Impact Assessment		O				
ANALYSIS/REPORTING						
PTMS Reports					Q A	
Training Provider Report				W		
CAU Workshop Report	W					
CAU Quarterly Report	Q					
Quarterly Impact Report		Q				
USAID PIR					S	
CAU Special Reports	A					
REVIEW & FEEDBACK						
PTMS Reports					Q	Q A
Training Provider Report	W					
CAU Workshop Report			W		W	
CAU Quarterly Report			Q		Q	Q
Quarterly Impact Report	Q		Q		Q	Q
USAID PIR						S
CAU Special Reports			A		A	A

SYMBOLS

A = Adhoc/Special O = Ongoing
 Q = Quarterly S = Semi-Annually
 W = Before/After Workshop

V. SELECTION OF A LOCAL CONTRACTOR

To monitor the impact of HRD training, the HRDA Washington team supports the Mission's proposal to use the services of a local contractor. HRDA project experience throughout Africa has shown that African firms have the capacity to design and assess training, and certainly Zambia is no exception. Zambian firms have carried out assessments and have knowledge of in-country training and of the Zambian private sector. However, if a preliminary review of local resources fails to identify firms or individuals with all the relevant experience needed to carry-out this assessment, USAID/Zambia should consider providing, as support to a Zambian firm, staff training in the design and conduct of an impact assessment with assistance from the HRDA Washington staff or other experts.

A. Guidelines for Local Contractor Selection

USAID/Zambia should expect that a local contractor have the resources required to collect, analyze and report impact data. The contractor's resources should include access to:

- Adequate office space in Lusaka, or within easy reach of Lusaka by road;
- Report preparation services and computer facilities, including PCs and appropriate software; and
- Communication (telephone and fax) and transportation (vehicles) equipment.

The contractor staff who will carry-out this activity should have the following minimal requirements:

- Education: university degree in a social science discipline, i.e., business management, economics, sociology, anthropology, statistics.
- Experience: at least three previous activities involving surveys in Zambia; demonstrated familiarity with issues involving the emerging private sector environment in Zambia and the cultural and legal issues surrounding its development; access to sources of information on the Zambian SME subsector.
- Other: in-house competency in Zambian national languages and knowledge of rural Zambia.

These requirements can form the basis for evaluating the local firms that present proposals, either oral or written, or both. A draft SOW for the contractor is outlined section D below, with sections addressing project background, objectives of the contract, reporting and deliverables, contractor capabilities and qualifications, and suggested evaluation criteria, among others.

B. Carrying-out the Impact Assessment

The proposed monitoring instruments (pre-workshop, workshop, and post-training impact) will form part of the impact monitoring plan for the HRD project. However, only the impact assessment instruments will be administered, analyzed and reported on by the local contractor, with the other instruments having been administered earlier by CAU and made available to the local contractor. The administration of the impact monitoring instruments will involve the following steps:

- if necessary, training the local contractor in the proposed impact assessment methodology and how to develop, use and revise the instruments;
- pretesting the questionnaire on a select group;
- sending the questionnaire to all trainees at various points in time after their training;
- tabulating and data entry of the questionnaire results;
- analyzing and reporting the results;
- options: focus groups and case studies.

1. Training the Local Contractor

If USAID/Zambia identifies a local contractor with relevant skills but which lacks expertise in applying the proposed methodology, training can be offered in Zambia. This training can be organized through the HRDA Washington staff or through another mechanism (purchase order, grey amendment contract, IQC) and should involve a five-day session covering at least the following points: use of the impact methodology, clarifying issues and impact indicators, guidance in developing/refining assessment instruments, pretesting and revising questionnaires, quality control and oversight, coding and tabulating data, facilitating focus groups and analyzing the resultant data, carrying-out case studies, and analyzing and reporting data for end-user needs.

2. Pretesting the Questionnaire

Pretesting should be carried-out by the local contractor before the questionnaire is administered to the trainees. The pretest should be conducted using a small group of trainees, preferably in and around Lusaka for maximum time and resource efficiency. In the pretest, the local contractor should ensure that the questionnaire is understandable to the trainees. Once the questionnaire has been pretested and revised, if necessary, it can then be used as a valid tool to be administered to all trainees.

3. Phased Administration of the Instruments

The post-training instruments will be administered according to the following schedule:

- The administration of the post-training impact questionnaire will begin at the inception of the local firm's contract, and be administered at two points in time for any given HRD trainees: (1) three months after training for all trainees completing training before July 1995, and (2) again at approximately one year or more after training for all those trained before Sept 30, 1994.
- The focus groups should begin in the first quarter of the local contractor's work period. They should be carried-out for groups of trainees having completed training at least six months prior, each in a different province of Zambia, with each group interview taking approximately two to three hours.
- The case studies will begin at the inception of the local contract and continue through the end of this activity. Each subject will be interviewed at least three times, and information will be gathered at these times from other data sources, such as banks, clients, family members, company staff and company records.

4. Tabulation and Data Entry

Once the questionnaires are received, the data from individual questionnaires can be tabulated and entered into a simple computerized database management tool which the local contractor can propose. (For example, FoxPro, Microsoft Access, Paradox, dBase, Lotus 1-2-3, Quattro Pro, EPI Info, etc.) The tool chosen should allow the local contractor to enumerate quantifiable responses, cross-tabulate data, and present data in a graphic form.

5. Analysis and Reporting

The local contractor should be required to analyze and summarize the data collected, and prepare reports in a form to be determined collaboratively by USAID/Zambia and the contractor. The contractor should submit at least one report every three months summarizing the results of data analysis, and other data recommended in Annex H.

The report should contain graphical representations of data, as well as a textual interpretation of the data. Each report should contain tabulations of the questionnaires, with the individual questionnaires kept on file for reference. A final report should be submitted at the end of the contract that summarizes all the previous reports, completed case studies, summary results of focus group interviews, and the local contractor's summary recommendations regarding training for impact.

6. Focus Groups and Case Studies

In order to enhance and give qualitative depth to questionnaire data, the HRDA Washington team recommends that USAID/Zambia fund implementation of focus groups and case studies, in addition to the written questionnaires.

Focus group interviews should be used to gather information from selected groups that will provide qualitative insights about training impact. These will be carried-out in four provinces of Zambia, and should represent four different types of training. The local contractor will convene from five to ten members of a given training group for a two to three hour session at approximately six months after completion of training. The choice of training groups to be reconvened for focus groups will be the responsibility of the CAU in collaboration with USAID/Zambia and the local contractor.

Case studies will allow a more thorough longitudinal look at two to three firms affected by training. The trainees progress will be tracked through a series of three to four individual interviews that highlight how capacity building, performance improvements and business growth were a function of training. The local contractor will report how trainees were particularly successful or unsuccessful in applying their training and increasing their business opportunities, highlighting the links between training and change at various points in time.

The choice of trainees to be featured for case studies should be the responsibility of CAU in collaboration with USAID/Zambia, with guidance from the local contractor.

C. Contracting Options

Upon USAID/Zambia's request, the HRDA Washington team developed options to consider in monitoring training impact. These activities are considered in three categories: (1) level of effort for the assessment, (2) type of bidding, and (3) type of contract. Within each of the three categories, the advantages and disadvantages of each option are presented.

1. Level of Effort

LOE Option 1. Administration of survey questionnaires

There are three options that USAID/Zambia can choose from for monitoring training impact. The first option involves only a written questionnaire with the following steps and estimated level of effort:

QUESTIONNAIRE TASKS	CONTRACTOR LOE
Training in impact methodology: 5 days @ 3 survey staff	15 days
Pretesting questionnaire	5 days
Preparation/finalization of questionnaire	2 days
Mailing throughout contract period using PTMS mailing list	3 days
Preparing database	5 days
Data entry and analysis: 5 days per quarter @ 3 quarters	15 days
Quarterly report preparation and finalization: 4 days per quarter @ 3 quarters	12 days
Final report preparation and finalization	4 days
TOTAL LOE	61 days

LOE Option 2. Focus group interviews

This option would involve the following steps and estimated level of effort:

FOCUS GROUP TASKS	CONTRACTOR LOE
Preparation of focus group guide and questions: 2 facilitators @ 1 day @ 4 groups	8 days
Travel to 3 sites outside Lusaka @ 2 days @ 2 facilitators	12 days
Conducting focus groups: 4 groups @ 2 facilitators @ 1/2 day	4 days
Analysis of information: 4 groups @ 2 facilitators @ 1 day	8 days
Report preparation and finalization	6 days
TOTAL LOE	38 days

LOE Option 3. Case study

This option would involve the following steps and estimated level of effort:

CASE STUDY TASKS	CONTRACTOR LOE
Preparation of case study questions and approach: 2 interviewers @ 1 day	2 days
Travel to 2 sites outside Lusaka @ 2 days and 2 interviewers per site	8 days
Interviews: 2 @ 2 interviewers @ 3 times @ 1/2 day	6 days
Analysis of information: 3 firms @ 1 day	3 days
Report preparation and finalization	6 days
TOTAL LOE	25 days

LOE Option 4. All options included

The estimated level of effort for all three of the above options is given below:

OPTIONS	CONTRACTOR LOE
Option 1.1. Administration of survey questionnaires	61 days
Option 1.2. Focus group interviews	38 days
Option 1.3. Case study	25 days
TOTAL LOE ALL OPTIONS	124 days

2. Type of Bidding

The team proposes two bidding options that the Mission can choose from, based on timing and funding: full and open competition, or a limited competition among a short list of firms.

Bid Option 1. Full and open competitive bidding

To extend the possibility of responding to this activity to as large a universe of local consulting firms as possible, USAID/Zambia should use a full and open competitive bidding process. This would involve the following steps:

- designing an RFP with a full description of the services to be provided (SOW) and clear technical and cost evaluation criteria;
- advertising the RFP in a widely read newspaper;
- allowing adequate time for responses from firms and for USAID/Zambia review of proposals;
- a best-and-final offer (BAFO) stage of reviewing the top-ranked proposals and requesting technical and cost clarifications and/or oral interviews; and
- time for USAID/Zambia to negotiate and sign a contract.

The advantages of this approach are that it allows USAID/Zambia to extend its knowledge of the local consulting industry beyond the already known firms, and the potential for more competitive bids. The disadvantages of this approach are the timeframe, the management burden on Mission staff in reviewing a potentially large number of proposals, and the inclusion of a BAFO stage.

The following thirteen-week timetable represents a possible best-case scenario for open competitive bidding.

TIMEFRAME FOR FULL AND OPEN COMPETITIVE BIDDING		
ACTIVITY	TIMEFRAME	RESPONSIBILITY
RFP design: SOW, evaluation criteria, Mission review	Week 1 & 2	USAID/Z: HRDO, GDO, Ex Officer
Develop advertisement, advertise the RFP in local newspaper	Week 3	USAID/Z: HRDO
Firms respond within 30 days	Week 3-7	Local firms
Review and ranking of proposals; preparation of responses to bidders	Week 8-10	USAID/Z: HRDO, GDO, Ex Officer
Response to BAFO and/or request for clarifications	Week 11	Local firms
Review of BAFO responses	Week 12	USAID/Z: HRDO, GDO, Ex Officer
Negotiate and sign a contract	Week 13	USAID/Z & local firm

Bid Option 2 Limited competitive bidding

For a quicker start, USAID/Zambia should use a limited competitive bidding process. This would be based on an informal review of firms and short-listing at least three, asking these firms to present their qualifications and understanding of the SOW orally, and evaluate the oral presentations for the best technical response. The firm with the highest technical response could be asked for a cost proposal, and negotiations could then take place. If the firm's costs were too high and no cost adjustments were possible, USAID/Zambia could approach the second-rated firm and ask for a cost proposal. Once costs were agreed upon, a contract could then be signed.

The first advantage of this approach is that it allows USAID/Zambia to move quickly in implementing the impact assessment activity, while the Mission could be guaranteed of quality by checking the references of the firms chosen to submit bids. Secondly, the burden to the Mission is lessened by not requiring as extensive a bidding process. Thirdly, the Mission could meet and question members of each firm as to their understanding of the SOW, how they would respond to given situations and requirements, and who the contractor would propose to work on

the activity. Lastly, limited competitive bidding allows an offerer to propose adjustments to the SOW and participate in refining the approach to the work before the final SOW and contract is finalized.

The disadvantages of this approach are that USAID/Zambia could receive a less-than-best-cost proposal, and the competition will be limited to a known universe of firms.

The following seven-week timetable represents a possible best-case scenario for limited competitive bidding.

TIMEFRAME FOR LIMITED COMPETITIVE BIDDING		
ACTIVITY	TIMEFRAM E	RESPONSIBILITY
SOW finalization, evaluation criteria, Mission review	Week 1-2	USAID/Z: HRDO, GDO, Ex Officer
Review of firms, reference checks		
SOW sent to firms	Week 3	USAID/Z: HRDO
Firms prepare	Week 3-4	Local firms
Oral presentation to USAID/Z of proposals by local firms	Week 5	Local firms
Evaluation of presentations	Week 5	USAID/Z: HRDO, GDO, Ex Officer
Response to request for costs	Week 6	Local firms
Review of costs	Week 7	USAID/Z: HRDO, GDO, Ex Officer
Negotiate and sign a contract	Week 7	USAID/Z & local firm

3. Type of Contract

To carry-out the impact monitoring assessment, USAID/Zambia has the option to issue a Fixed Price/Purchase Order (FP) type of contract, a cost-reimbursable contract, or a FP contract with reimbursable items.

Type 1. Fixed price contract

Fixed price contracts are preferable to USAID, as they place the risk burden on the contractor, require limited oversight by USAID during implementation and obviate the need for indirect agreements and ceilings. However, they require the firm to price expected costs and attendant risks, and for the Mission to carefully delineate the nature, content and timing of deliverables which would then drive the payment schedule. The risk factor that would be carried by the firm to cover elements such as inflation and other factors beyond the firm's control, might raise costs.

Type 2. Cost-reimbursement contract

A cost-reimbursable contract allows the Mission to track each expense category carefully, but asks the local firm to take little risk for extraordinary expenses. These contracts risk overruns, are more time consuming to manage, require careful scrutiny of direct and indirect costs by Mission management, and require a more lengthy and detailed contract document.

Type 3. Fixed-price with limited reimbursement contract

A third option would be to combine a FP contract with appropriate deliverables and payment schedule, with reimbursement for certain variable costs prone to rapid increases caused by inflation. For example, with the need to visit sites outside of Lusaka, a direct reimbursement for gasoline might be considered to cover the possible rise in this cost due to inflation over a lengthy period (6-9 months).

D. Draft SOW for the Local Contractor

Below is a draft of a proposed SOW for the local contractor, designed in an RFP format that could form the basis for an eventual contract. Local bidders should also be given explicit instructions on preparing a cost proposal. Guidelines to the bidders for costing can be provided by USAID/Zambia's Executive Officer.

ARTICLE I: TITLE AND TYPE OF CONTRACT

USAID/Zambia is issuing a Fixed Price contract for a Zambian firm to carry-out a post-training impact assessment of the Human Resources Development (HRD) project.

ARTICLE II: BACKGROUND

USAID/Zambia has been sponsoring in-country training of owners, managers, and employees of Zambian small and medium enterprises since October, 1993. In an effort to assess the impact of this training, USAID/Zambia wishes to contract the services of a local consulting firm to carry-out a nine-month impact monitoring assessment study. The results of this study will provide USAID/Zambia with information to use on evaluating current training, as well as providing information for future training programs.

ARTICLE III: OBJECTIVE

The objective of this contract is to secure the services of a Zambian consulting firm to carry-out an assessment of the impact of USAID/Zambia-sponsored training delivered under the HRD project from October 1, 1993 to September 30, 1995.

ARTICLE IV: STATEMENT OF WORK

The contractor shall present no more than a ten-page description of how it proposes to implement the following statement of work:

A. Training in the impact assessment methodology (one week)

Before contract signing, the contractor will make proposed staff available to undergo a one-week workshop in the impact assessment methodology. The training should take place in Lusaka, and could be delivered by an outside consultant identified by USAID. The purpose of the training is to allow the contractor to refine its skills in the methodology, and to pretest a questionnaire proposed by a U.S. consulting firm.

B. Pretesting the questionnaire

The contractor will pretest the proposed five-page questionnaire before it is administered to the trainees. The pretest should be carried-out using a small group of trainees, preferably in and around Lusaka. In the pretest, the contractor will ensure that the questionnaire is understandable by the trainees to be surveyed. Once the questionnaire has been pretested, revised, and approved by the USAID/Zambia Project Officer, it will be used as the impact assessment tool to be administered to all HRD trainees. No alterations to the questionnaire can be introduced without advanced approval in writing of the USAID/Zambia Project Officer.

C. Performing the assessment

The contractor will administer the post-training questionnaire at two points for each trainee: (1) three months after the completion of training, and (2) again at approximately one year or more after training. The three-month assessment will only be possible for those receiving training by July 1, 1995. The one-year assessment will only be possible for those who have received training by September 1, 1994. This phase will involve mailing the questionnaire with a stamped self-addressed envelope to all participants at the relevant times. Trainees will be asked to fill out the questionnaire and return it to the contractor.

USAID/Zambia estimates approximately ___ trainees will need to be contacted for the three-month questionnaire, and approximately ___ will need to be contacted for the one-year questionnaire.

D. Tabulation and data entry

Once the questionnaires are received, the data from individual questionnaires will be tabulated and entered into a simple database which the contractor can propose. The tool chosen should allow the contractor to tabulate, cross-tabulate, and perform other analyses as well as present data in a graphic form for reporting.

E. Analysis and reporting

The contractor will be required to analyze and summarize the data collected, and prepare reports to USAID/Zambia every three months with the following information:

- Executive Summary
- Table of Contents
- Background (activities, techniques, study sample)
- Findings
- Conclusions and Recommendations
- Attachments (instruments, tabulations)

A final report will be submitted at the end of the contract that is a cumulative analysis of questionnaire results, focus group interviews, and case studies, as well as summary conclusions and final recommendations regarding training for impact. More information on specific reporting requirements are given below under Article V below.

F. Focus groups and case studies

In addition to administering the questionnaires, the contractor will also use the following techniques for monitoring impact.

Focus group interviews: The contractor will conduct a total of four focus group interviews for 5-10 trainees, in four provinces of Zambia, representing different types of training. The choice of groups and individuals will be determined by USAID/Zambia, CAU training staff, and the impact monitoring contractor. The contractor will communicate with the individuals in advance and coordinate a 2-3 hour group interview for each group, approximately six months after completion of training. The contractor will be responsible for all logistical arrangements and staff transportation to and from the sites. These focus groups will generate qualitative and additional quantitative data which will require interpretation by the contractor in a summary report.

Case studies: The contractor will develop case studies for three firms affected by training to provide greater qualitative depth in analyzing impact. Three trainees would be chosen by USAID/Zambia and CAU. In developing the case studies, the local contractor will be required to trace the trainees through a series of at least three interviews each, and report how these trainees were particularly successful or unsuccessful in applying their training and increasing their business opportunities, highlighting the links between training and change at various points in time.

ARTICLE V: SCHEDULE OF DELIVERABLES, REPORTS AND PAYMENT

Work plan: Within five days of contract signing and after completion of the training in the impact methodology, the contractor will present a work plan covering the entire contract period, specifying time frames for each activity, level of effort in person days, and a timetable for report submission. USAID/Zambia will have five days to review this plan. Once the plan is approved, the contractor can invoice USAID/Zambia for 20% of contract costs as an advance.

Interim quarterly reports: The contractor shall submit interim reports every three months after the contract has been signed, summarizing the results of data analysis for that quarter as per Article IV. E. above. The body of the report shall be prepared in WordPerfect 5.1 and submitted on diskette, or in a word processing program compatible with WordPerfect.

Two copies of the quarterly reports shall be submitted to USAID/Zambia, who will have ten days to review and comment. Once each of the three revised quarterly reports has been accepted by USAID/Zambia, the contractor shall invoice USAID/Zambia for 20% of the total contract amount, as well as any allowable reimbursables (three reports x 20% = 60%).

End of contract report: A final report shall be submitted at the end of the contract period which will be a cumulative analysis of all the previous reports, including the last quarterly report, as per Article IV.E. above.

The body of the final report will not exceed ___ pages, and must be single spaced and written in English. Any graphs, charts and tables should be included in an annex. This report must be submitted no later than ten days after the completion of the final assessments. The contractor will provide 9 bound copies and 1 unbound copy of the report, as well as a diskette of the final report, with all text prepared in WordPerfect 5.1 and submitted on diskette, or in a word processing program compatible with WordPerfect.

The final report shall be submitted to USAID/Zambia, who will have ten days to review and comment. Once the final report has been accepted by USAID/Zambia, the contractor shall invoice USAID/Zambia for the final 20% of the total contract amount, as well as any allowable reimbursables.

ARTICLE VI: CONTRACTOR CAPABILITIES AND QUALIFICATIONS

The contractor shall have the resources required to administer the impact monitoring instruments, and be able to analyze and report on the data collected. The contractor's resources should include access to:

- Adequate office space in Lusaka, or within easy reach of Lusaka by road;
- Report preparation services and computer facilities, including PCs and appropriate software for reporting purposes;
- Communication (telephone and fax) and transportation (vehicles) equipment.

The contractor staff who will carry-out this activity should have the following minimal requirements:

- Education: university degree in a social science discipline, i.e., business management, economics, sociology, anthropology, statistics;
- Experience: at least three surveys in Zambia; demonstrated familiarity with issues involving the emerging private sector environment in Zambia and the cultural and legal issues surrounding its development; access to sources of information on the Zambian SME subsector;
- Other: in-house competency in Zambian national languages and knowledge of rural Zambia.

The contractor's proposal should include a list of local professional references, resumes of key individuals proposed to work on this activity, and at least two samples of surveys or studies carried-out over the last two years by proposed staff of the contractor.

ARTICLE VII: RESPONSIBILITIES

The contractor will work under the general supervision of the Cognizant USAID/Zambia Project Officer, currently the Human Resources Development Officer, Ms. Asina Sibetta. The Project Officer must be consulted on any revision to the terms of this contract. Any revisions must be approved in writing by both parties to this contract in advance.

ARTICLE VIII: PERFORMANCE PERIOD

The desired performance period for this contract will be from ___ to ___. The final report should be submitted no later than September 15, 1995.

ARTICLE IX: ESTIMATED LEVEL OF EFFORT

[To be determined by USAID/Zambia.]

ARTICLE X: ILLUSTRATIVE BUDGET

[To be included in final contract after negotiations are completed.]

ARTICLE XI: EVALUATION CRITERIA

This contract will be accorded based on an evaluation of the contractor's technical and cost proposal according to the following scale:

1.	Technical Proposal	
	A. Understanding of the services to be offered	20%
	B. Evidence of capabilities to perform the services required	30%
	C. Qualifications and experience of assessment team	40%
	Subtotal	90%
2.	Cost Proposal	
	Reasonableness and completeness of costs	10%
	TOTAL	100%

VI. NEXT STEPS

A. Outstanding Issues

The HRDA Washington team encountered a number of issues during their time in-country. Many of these issues were addressed throughout the body of the report. Other issues were left unresolved by the team, either because of time constraints or because the issues were beyond the team's SOW.

The issues vary in terms of urgency, with some requiring resolution before the monitoring effort can go forward, while others can be addressed during the next visit to Zambia from CAU/Atlanta, and yet other issues need final resolution when it is time to make decisions about the future funding of the HRD Project.

While USAID/Zambia must take the lead in resolving these issues, it is important that both CAU, as the project implementor, and the training committees be consulted.

Monitoring Issues:

- *Level of effort for the impact monitoring contractor.* The options have been presented in Section V of the report.

Project Implementation Issues:

- *The CAU training plan and implementation schedule.* Less than one year remains under the CAU Agreement, and the HRDA Washington team recommends that the CAU Training Plan be reviewed soon due to delays in implementation.
- *Breadth versus depth of the courses offered under the HRD project.* The Mission could decide to reach more Zambians by continuing to offer the course entitled "Business Planning and Basic Finance for SMEs," which would increase the breadth of the project. Or USAID/Z might choose to follow-up with more advanced workshops, as currently planned, such as Export Marketing, Productivity Improvement and TQM, and Production Management. If the latter decision is made, then fewer Zambians will be trained, because some of those enrolled in the advanced workshops will be alumni from the Business Planning/Finance workshop, but this will provide more depth of training in key areas. There are significant management and evaluation implications with either decision.

- **Management structure and roles and responsibilities of Clark Atlanta staff** in Atlanta and in Lusaka. A first step in this process would be to review position descriptions and discuss workloads and outputs.
- **Clarification of criteria for selection of trainees.** In the Training Implementation Plan, CAU articulates 8-10 criteria for selection of which at least 2 are to be met. (See CAU/HRD Project Strategic Planning Document, pages 6 and 7.) In implementing HRD, CAU/Lusaka is applying some, but not all, of these criteria. The key selection criteria seem to be the following: minimum level of education of grade 9; minimum of one year in business; owner/manager of firm; women and rural dwellers are encouraged to apply; balance of sub-sectors representing agriculture and manufacturing.

In order for USAID/Zambia, CAU, potential trainees and the GRZ to be clear on the selection criteria, these should be reviewed, firmly agreed upon and clearly stated in writing in all project documents, specifically in the announcements of workshops in the newspaper and on radio, project descriptions, and other related information. Making the process more transparent should avoid any charges of favoritism potentially leveled at USAID, CAU, the PEC and Training Sub-Committees, or the HRD Project.

- **Clarification of criteria for selection of training providers.** Those selected for the "Training of Master Trainers for SME Management" workshop conducted in July 1994 were firms/individuals providing HRD training and those who CAU determined had the potential to do so. While the criteria are known to HRD staff, they need to be stated in a written form. It is recommended that the selection criteria for training providers for all future training workshops be reviewed as soon as possible, decided upon, articulated in a written form, and available to interested parties.
- **The Terms of Reference (TOR) for the committees.** The PEC and the Training Sub-committee have not met for at least five months due to changing circumstances in project design and implementation, which, in turn, have implications for the TORs of the committees as well as for the criteria for membership selection and retention. Once the TORs are reviewed by the committees, they should be agreed upon by the Mission and CAU.
- **The sustainability of the HRD Project.** Local capacity building and institutionalization are occurring, however, little is being done to ensure financial sustainability. Issues related to sustainability include, but are not limited to, the fee paid by trainees (currently 10,000 kwacha, approximately US \$15), and the

roles of CAU and the committees in project implementation.

USAID should also consider whether the training plan and its implementation allow for the sustainability of training skills and knowledge among trainees. A key issue is whether HRD training has a sustainable impact on the businesses benefiting from HRD training.

- ***Role of the Participant Training Management System (PTMS) in USAID record keeping and reporting.*** In the Training Implementation Plan CAU proposed an alternative record keeping database. Given that PTMS is the Africa Bureau mandated system, that the software is available to contractors, and that CAU has not developed a new system as of yet, the role of PTMS should be reinforced in project record keeping and reporting. Accurate PTMS records are fundamental to USAID for keeping in contact with former trainees, as they provided mailing lists that can be used for sending questionnaires, newsletters, and other alumni correspondence.
- ***Status of the Information, Education, Communications (IEC) activities and other proposed activities including the youth focus and business advisory services.*** Given the concerns regarding implementation and limited resources, these activities should be reviewed for feasibility.

Future Funding Issues:

- ***Cost effectiveness of the Clark-Atlanta (CAU) Cooperative Agreement.*** This is particularly important to consider should CAU seek a no-cost extension. This would include a review of Quarterly Reports, CAU budget and financial reports.
- ***Assessment of training needs in the private sector.*** Given the shortage of current information and documentation on the private sector in Zambia, and the rapid changes that have taken place in the past two to three years, USAID/Zambia should fund an assessment of the private sector in the next year or two, but only if future private sector training will be funded. This report could include an update of the 1991 Private Sector Training Needs Assessment Report done by Labat-Anderson and AfroDevelopment.

This exercise could be funded by HRD or the Privatization Project. Technical assistance could be accessed through REDSO/WCA, USAID/Washington mechanisms or a contract/purchase order with a local consulting firm.

B. Sample SOW for Training in Monitoring and Evaluation

In planning the assignment for the HRDA Washington team, USAID/Zambia envisioned two phases: (1) designing a monitoring plan, drafting data collection instruments, and developing a scope of work for the local contractor that will monitor training impact; and (2) a second visit to Zambia to train the contractor in the Africa Bureau impact methodology, among other tasks. Also as part of Phase I, the team was asked to develop a scope of work for Phase II, which is presented below.

1. Background

The focus of the Human Resources Development Project (HRD) Project is on short-term, in-country training for owners/managers of Small and Medium Scale Enterprises (SMEs). Very limited long-term (3 participants) and short-term third country training is managed under the project. The project is managed through a Cooperative Agreement with Clark Atlanta University (CAU) which was signed in September 1993 and is effective until September 30, 1995.

In August 1994, USAID/Zambia submitted a request to the Africa Bureau, Office of Sustainable Development, Human Resources Development Assistance Project (HRDA), for technical assistance through the requirements contract (so called Q contract) of HRDA with the primary contractor, AMEX International, Inc. and the subcontractor, Creative Associates International, Inc. The Mission requested the services of AMEX/CAII to design an impact monitoring plan for USAID/Zambia to assess the implementation and impact of the HRD project.

Following the review of the PIO/T and Scope of Work submitted by USAID/Zambia to the HRDA Project Officer, and acceptance of the proposed team by the Mission, the Office of Procurement/Africa negotiated a contract with AMEX. USAID/Washington followed through on their long-standing offer to provide the Mission with the additional services of a core-funded Training Specialist for the team. The team leader/training specialist was provided by AMEX and the evaluation specialist by Creative Associates. All three team members had worked with the Africa Bureau *Training Impact Evaluation Methodology and Initial Operational Guide* (CAII, 1991) in assignments in Rwanda, Tanzania and Cameroon.

In November 1994, the three-person team traveled to Zambia for a two-week assignment to design an impact monitoring plan for the HRD project. It was envisaged by the Mission and the HRDA Washington team that the survey instruments designed under this plan would be administered by a local contractor with input from CAU and oversight by USAID.

In this follow-up assignment, USAID/Zambia requests the services of two training/evaluation experts to design a week-long workshop for local consulting firms, and to provide one week of additional consultations for the firm that is awarded the contract to implement the impact monitoring plan.

USAID/Zambia recognizes the capabilities of local consulting firms and seeks to utilize these services whenever possible. In this instance, Mission requests outside technical assistance/training because local consulting firms are not familiar with the proposed impact methodology, in particular and USAID monitoring.

The HRD project, as well as other USAID projects will benefit from the increased skills and capacity of Zambian consulting firms to conduct monitoring and evaluation assignments.

2. Objectives

The objective of this assignment is to train local Zambian consulting firms in monitoring as required by USAID, and to provide additional training in the impact assessment methodology and implementation of the proposed impact monitoring plan and its instruments (questionnaire, focus groups, and case studies) for the monitoring contractor.

3. Statement of work

- a. Design a five-day training program for Zambian private sector consulting firms on USAID monitoring and evaluation systems, methodologies and instruments.
- b. Develop written materials that are relevant to the Zambian environment including handouts and a variety of exercises to teach trainees the fundamentals of the subject.
- c. Deliver the above training in Zambia for approximately 10-15 individuals from Zambian consulting firms. A short evaluation questionnaire of the training should be written, disseminated and collected by the trainers.
- d. One week of follow-up consultations for the monitoring contractor regarding: the training impact methodology; clarifying issues and identifying impact indicators; developing assessment instruments; pretesting and refining questionnaires; quality control and oversight; coding and tabulating data; facilitating focus groups and analyzing the data; carrying-out case studies; and analyzing and reporting data for end-user needs.
- e. The team leader will provide written feedback via fax to the local firm during the first few months of implementation of the monitoring plan in order to assist in proper analysis and reporting of the information to USAID/Zambia.

Total person weeks required is six with service timeline delineated at four weeks for the team leader (three weeks in Zambia, one week in the U.S.) and two weeks in Zambia for the monitoring/evaluation specialist.

4. Deliverables

- a. A proposed implementation schedule for both weeks of assistance, including a syllabus for the first week of training.
- b. A report on the assignment, including a section on any special issues, concerns, or successes that occurred.
- c. Copies of evaluations completed by the trainees after the week long training program for consulting firms.

A draft report is to be left with the Mission HRDO prior to the team leader's departure from Zambia.

A final report is to be completed, incorporating Mission feedback on the draft report. Five (5) copies of the final report are to be submitted to USAID/Zambia and three (3) to G/HCD/FSTA within 21 days of the team leader's departure from Zambia. Each office will also receive a diskette copy of the report on WordPerfect 5.1.

5. Reporting and relationships

The HRD Project Manager, Ms. Asina Sibetta, USAID/Zambia will be the cognizant USAID officer responsible for the contract. During her absence, it will be the General Development Officer, Val Mahan. A briefing will be held with Ms. Sibetta on arrival and supplemented by periodic oral progress reports. The team leader will debrief formally with Ms. Sibetta and other Mission staff prior to departure from Zambia.

Arrangements for the logistics related to the week-long training program for private sector consulting firms will be handled by USAID/Zambia HRD Office. The location and financing for this event will be determined and handled by this office. The follow-up consultations will be conducted at either USAID/Zambia or at a mutually convenient location for the team leader and monitoring contractor, depending upon the availability of space at USAID/Zambia.

6. Qualifications

The contractor will provide two individuals for this assignment. Experience with the training impact methodology is essential and familiarity with USAID African training projects is crucial for the team leader. The second team member will be an experienced trainer and facilitator and will serve as the lead person on the design and delivery of the training; knowledgeable about monitoring and evaluation in general and within USAID is essential.

The individuals should have performed similar tasks, preferably in Africa. Experience working in Zambia will be considered an asset. Both individuals must have at a minimum of six years of practical experience in training design, implementation and evaluation.

**ANNEX A
SCOPE OF WORK**

ARTICLE I - TITLE

Human Resources Development Assistance/Zambia
Design of an Impact Monitoring Plan

ARTICLE II - OBJECTIVE

In FY 91, USAID/Zambia decided to buy-in to the regional Human Resources Development Assistance (HRDA) Project with the purpose of assisting Zambia in achieving a market-oriented economy and sustainable development, using their growing more influential private sector. A Country Training Strategy Statement for Human Resources Development to support the Private Sector and a Private Sector Training Needs Assessment were conducted and prepared as baseline documents for the USAID/Zambia HRDA Project. A limited Scope Grant Agreement was signed on September 19, 1991 to provide long-term academic and short-term technical training in the United States; in-country short-term technical and management training, seminars, and workshops; and third country short-term technical and managerial training. For the first two years, the project was implemented under a Mission Personal Service Contract and focused on training programs that assisted Zambia in its economic recovery program such as privatization, entrepreneurship, management and policy development. In September 1993, the Mission signed an institutional contract with Clark Atlanta University (CAU) to manage and implement the project for two years through September 30, 1995.

In April 1994, Clark Atlanta University was requested by USAID/Zambia to narrow the project's focus. This was necessary because the Mission now has in place a Privatization Project being implemented which is supporting privatization, an area initially supported under the HRDA Project. After discussions with the Mission and relevant public and private sector institutions, CAU prepared a Strategic Plan, Training Strategy, Training Implementation Plan and Calendar, a logical framework, budgets and other documents. These documents contributed to a sharpening and narrowing of the focus for the HRDA project. Documents such as the logframe presented data that was previously lacking in the yearly buy-in Training Plan. As a result of narrowing the focus, the project will now concentrate on private sector development through training of owners/managers of Small and Medium Scale Enterprises (MSEs). This training focus meets the Mission CPSP sub goal 1 of a market-oriented economy established with broad participation. The market-oriented economy can only be established through the development and growth of MSEs. The development and growth of MSEs will be enhanced through tailored training to meet their requirements.

The objective is to contract for consulting services to design an impact monitoring plan for USAID/Zambia to perform an ongoing assessment of the HRDA Project's implementation and impact.

ARTICLE III - STATEMENT OF WORK

1. Review the Clark Atlanta University (CAU) written training strategy to analyze project training activities' relationship to the CPSP, target populations and the month-by-month outline of the courses the project will offer between current date and September 1995 (end of CAU contract).
2. Develop instruments and a methodology to assess the training courses, trainers, design, content and achievement of training objectives.
3. Develop instruments and a methodology to assess the impact of project training on the trainees, their employing institutions, and the private sector in Zambia.
4. Develop instruments and a methodology for evaluating the project's management - including the contractor, the project training sub-committees and the USAID/Zambia Mission.
5. Specify indicators for the assessment of overall significance of USAID sponsored training activities vis-a-vis nation-wide needs and target group needs.

ARTICLE IV - REPORTS

A final report is required that includes:

1. A complete plan for monitoring project impact with a methodology, assessment instruments and plan for applying the instruments developed.
2. Criteria for the newspaper advertisement requesting local companies or individuals to apply for a contract to administer the assessment instruments.
3. Guidelines for the USAID/Zambia Mission to screen and select a local contractor to administer the assessment instruments.
4. A plan for receiving written feedback from the Mission on the draft report for incorporating into the final report following the team's departure from Zambia.

A draft report is to be left with the cognizant AID officer responsible for this contract prior to the team's departure from Zambia.

A final report is to be completed, incorporating Mission feedback on the draft report. Five (5) copies of the final report are to be submitted to USAID/Zambia and another five (5) to AFR/SD/HRD within 30 days of the team's departure from Zambia. Each office will also receive a copy of the report on WordPerfect diskette.

ARTICLE V - RELATIONSHIPS AND RESPONSIBILITIES

The HRDA Project Manager, Ms. Asina Sibetta, USAID/Zambia, will be the cognizant AID Officer responsible for the contract. A briefing will be held with Ms. Sibetta on arrival and supplemented by periodic oral progress reports. The team will debrief formally with Ms. Sibetta and other Mission staff at USAID/Zambia, prior to departure from Zambia.

ARTICLE VI - TERM OF PERFORMANCE

- A. The effective date of this delivery order is October 26, 1994. The estimated completion date is December 15, 1994.
- B. Subject to the ceiling price established in this delivery order and with prior written approval of the project officer (block 5 on cover page) the contractor is authorized to extend the estimated completion date provided that such extension does not cause the elapsed time for completion of the work, including the furnishing of all deliverables, to extend 30 calendar days beyond the original completion date. The contractor shall attach a copy of the project officer's written approval for any extension of the term of this delivery order to the final voucher submitted for payment.
- C. It is the contractor's responsibility to ensure that the project officer's approved adjustments to the original estimated completion date do not result in costs incurred which exceed the ceiling price of this delivery order. Under no circumstances shall such adjustments authorize the contractor to be paid any sum in excess of the delivery order.
- D. Adjustments which will cause the elapsed time for the completion of the work to exceed the original estimated completion date by more than 30 calendar days must be approved in advance by the contracting officer.

ANNEX B

SCHEDULE OF ACTIVITIES

USAID/ZAMBIA HRDA IMPACT MONITORING PLAN

DATES	ACTIVITIES
Oct 28-30	Team arrives in Lusaka.
Oct 31	Team meets with USAID/Zambia, reviews SOW, collects and reviews documents.
Nov 1	USAID meetings, finalize workplan, document review.
Nov 2-9	Assessment period in Lusaka: review project files; meet with USAID staff, CAU staff, training providers, trainees, PEC/training subcommittee.
Nov 4-5	Assessment period in Livingston: observe training, interview training providers, committee members, trainees and CAU staff.
Nov 7	USAID meetings, review progress to date.
Nov 7-10	Draft plan and instruments.
Nov 10	Mission debriefing. First draft report submitted, comments from USAID/Zambia and CAU/Lusaka.
Nov 11-13	Finalize draft report incorporating comments from USAID and CAU.
Nov 13	Final draft report submitted to USAID/Zambia.
Nov 14-15	Team returns to the United States.
Nov 16-January	Receive Mission comments, incorporate comments into report, finalize report.
January 1995	Ship final reports to USAID/Zambia and submit to USAID/Washington.

ANNEX C**INDIVIDUALS CONSULTED****USAID**

Ms. Cynthia Bryant, Executive Officer
Mr. Val Mahan, General Development Officer
Mr. Charles Mohan, Economist
Mr. Craig Noren, Project Development Officer
Ms. Asina Sibetta, Human Resources Development Officer
Mr. Joseph F. Stepanek, Director
Mr. Rudy Thomas, Assistant Director
Ms. Bessie Thornicroft, Training Specialist
Mr. John Wiebler, Program Officer

Clark Atlanta University/Human Resources Development Project Staff

Ms. Euphemia Chambula, Office Manager
Mr. Warson Chisamba, Training Coordinator
Mr. Wilbur Jones, Project Implementation Officer
Ms. Liywali Mkasanga, Accountant/Bookkeeper
Mr. Solomon Mugala, Training Assistant
Mr. Earl Picard, Project Director
Mr. Maxwell D. Sichula, Training Coordinator

Training Providers and Consultants

Mr. Elliot Y. Chirwa, Consultant
Ms. Paxina R. Kalulu, Chair, Lyra International Ltd.
Mr. Windu Matoka, Regional Manager (Mongu), Small Industries Development Organization (SIDO)
Mr. Collins Sakajila, Regional Manager (Choma), Small Industries Development Organization (SIDO)
Mr. Sangayakula Sanga, Business Management & Finance Consultant

Business Associations and Support Organizations

- Mr. Margree S. Chilwesa, Executive Secretary, Small Scale Industries Association of Zambia (SSIAZ)
- Ms. Yvonne Goma, Director, Zambian Federation of Women in Business (ZFWIB) and Director/Owner, Comet Enterprises Ltd.
- Mr. Mukela Muliwana, Project Extension Services Manager, Small Industries Development Organization (SIDO)

Former and Current HRD Trainees

- Ms. Bwalya Kamfwa Jere, Director, Kezala Enterprises, Livingstone
- Mr. David Kalngesa, Director/Owner, Vitusa Enterprises Ltd., Lusaka
- Ms. Susan Matala, Director/Owner, [SHOES], Lusaka
- Ms. Jean Vester Mukobola, Owner, JV's Corner, Livingstone
- Ms. Trust Mulenga and Ms. Kellen Sarpong, Directors/Owners, Queens Fashion & College of Fashion, Lusaka
- Ms. Anne Mung'omba, Director, Muphima Drug Store, Mazabuka
- Mr. Dennis Munsaka, Director, DM Studios, Choma
- Ms. Joy Mwambazi, Carol Exclusive Fashions Limited, Lusaka
- Mr. Usen Mwanyali, Owner/Manager, Usen Fashions, Choma
- Mr. Kenneth Mwense, Owner, Mwense Breweries, Mazabuka
- Ms. Sylvia Pelagia Mulyata Ngulube, Owner/Manager, Livingstone Secretarial Bureaux

ANNEX D

DOCUMENTS CONSULTED

The HRDA Washington team would also like to acknowledge the access which both the USAID/HRD Lusaka provided to their files. This openness was much appreciated and facilitated document review.

Boone, P., Hichilema, H., Rauth, R. and Smyth, November 1992. *Zambia Private Sector Assessment*. Prepared for USAID/Zambia through the Private Enterprise Development Support Project II.

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Creative Associates, 1991. *A Training Impact Evaluation Methodology and Initial Operational Guide*. Prepared for A.I.D.-Africa Bureau.

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Hyman, Eric L., et al. November 1991. *A Microenterprise Sector Assessment and Development Strategy for A.I.D. in Zambia.* Prepared for USAID/Zambia through buy-in to the Growth and Equity through Microenterprise Investments and Institutions (GEMINI) Project.

Keel, Kathie et al., February 1994. *Monitoring Program Performance: USAID/Zambia.* Prepared for USAID/Zambia under the PRISM Project, Management Systems International.

Mukasa, S.B. "Promoting the Small Entrepreneurs," Profit. Zambia's Business Magazine. Zambia Association of Chambers of Commerce and Industry (ZACCI). October 1994, pp 24-26.

Taddesse, Samuel, October 1992. *Program Performance Monitoring and Evaluation Plan, Draft Final Report.* Prepared for USAID/Zambia under PRISM Project, Management Systems International.

USAID/Zambia, September 1994. *Cooperative Agreement No. 623-0463-A-00-3188-00 Human Resources Development Assistance Project-Zambia.*

USAID/Zambia, June 1993. *Country Program Strategic Plan, FY 1993-1997, USAID/Lusaka.*

USAID/Zambia, May 1991. *Private Sector Training Needs Assessment in Zambia.* Afro Development Services for LABAT-ANDERSON.

USAID/Zambia, *Project Implementation Report (PIR),* September 30, 1994.

USAID/Zambia, *Project Implementation Report (PIR),* March 31, 1994.

USAID/Zambia FY 1994 Training Plan, and related correspondence.

USAID/Zambia FY 1993 Training Plan, and related correspondence.

Votaw, S. and Wollmering, Rita, USAID/Zambia, September 1994. *Recommendations for Improving Training Management.* Prepared for USAID/Zambia under HRDA core services of AMEX/CAII.

ANNEX E

LOGICAL FRAMEWORK

This annex contains the following tables:

1. A draft logical framework prepared by the HRDA Washington team in November 1994 in an attempt to clarify the goal, purpose, and outputs of the HRD project. It was also an attempt to clarify indicators and propose means of verification.
2. A logframe that contains guidance for drafting a logframe or for interpreting one.
3. A logframe containing the issues encountered by the team in their attempt to draft a logframe for the HRD project.

Traditionally, a logframe is done at the design stage and serves as an outline, or framework, for describing what the project will do. Since one had not been done at the design stage (mainly because the project is a buy-in to the regional HRDA project and thus a logframe was not required), it was important to clearly describe the project before proposing a monitoring plan. However, it was not possible to properly complete the logframe during the brief visit of the HRDA Washington team, given other priority deliverables and insufficient information and background.

This annex is included as a record of the team's effort and should serve as a useful starting point for any future efforts to develop a logframe for the project.

D R A F T
LOGICAL FRAMEWORK

USAID/Zambia Human Resources Development Project

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<p><u>GOAL</u> Market-oriented economy established with broad participation</p>	<p>1) Total investment/GDP ratios 2) Private investment/GDP ratios 3) Gross domestic savings/GDP ratios</p>	<p>IBRD Economic Memos and Projections</p>	<p>USAID successfully implements and coordinates private sector activities to achieve a common purpose, especially IESC advisory services for SMEs</p> <p>Economic, political, and social conditions remain stable.</p>
<p><u>PURPOSE</u> Increased productivity and growth among existing SMEs in formal private sector.</p>	<p>1) Increased revenues 2) Increased investments</p>	<p>Post-training Impact Assessment</p>	<p>Availability of credit, skilled labor, production equipment, raw material supply and transport.</p>
<p><u>OUTPUTS</u> 1) Trained SME personnel 2) Increased capacity of trainees 3) Improved business practices 4) Increased SME, NGO, and public awareness of business management skills</p>	<p>1) xx business trained by 9/30/95 2) Skills, knowledge, attitudes acquired by end of each course (type and quantity vary by course objective) 3) Skills, knowledge, attitudes applied to business within 3 months of training (type and quantity vary by course) 4) ???</p>	<p>1) CAU Quarterly Reports PTMS Records 2) End-of-Course Evaluations 3) Post-training Impact Assessment 4) ???</p>	<p>Demand for training remains high among entrepreneurs.</p>
<p><u>INPUTS</u> Training Activities: 39 in-country training courses @ 25/course 25 third-country training @ 1/course 2 U.S. short-term training @ 1/course IEC Activities: 5 part video series 20 part radio series M&E Impact Evaluation PEC and Subcommittee</p>	<p>1) CAU Budget (5/5/94) Administration \$1,167,517 Training \$956,400 IEC \$154,500 Fringe & Overhead \$572,690 TOTAL \$2,851,107 2) M&E Contractor Budget 3) Quarterly PEC meetings Monthly subcommittee meetings</p>	<p>CAU Quarterly Reports</p>	<p>Cooperative Agreement requires no Conditions Precedent. Committee members available and committed to HRD project.</p>

Guidance for Developing a LOGICAL FRAMEWORK

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<p>GOAL - GREATER WHY What is the overall reason for the project? To what national program objectives (CPSP strategic objective) will the project contribute?</p>	<p>What indicator will signal achievement of goal? Restate directly from the CPSP subgoal statement.</p>	<p>Specify source of data and method for obtaining it. Will be the same means as stated in the CPSP or the API.</p>	<p>What external conditions are essential for the project to make its expected contribution to the program or sector goals?</p>
<p>PURPOSE - WHY - IMPACT Briefly state what the project is expected to achieve, if completed successfully and on schedule. It must be measurable and observable. State as a completed action; use a strong verb.</p>	<p>End-of-Project Status (EOPS)- Describe the conditions or situation that will exist when the project achieves the stated purpose. How will we recognize success? Needs to be an objective and measurable basis for evaluation. Should be plausible, independent, targeted. What is important, not what is easy. Measures changes that are attributable to project.</p>	<p>What are the types and sources of evidence to be used in verifying the condition marking the achievement of project objectives? Specify the source of data and methods for obtaining it.</p>	<p>What conditions must exist if the project is to achieve its purposes? What are the factors over which the project personnel have little or no control, but which if not present, are likely to restrict progress? Assumptions provide for those conditions/factors that are not project interventions.</p>
<p>OUTPUTS - WHAT - PRECONDITIONS TO IMPACT What are the major kinds of results that can be expected from good management of the inputs? The deliverables.</p>	<p>What are the specific cumulative targeted indicators for each of the planned outputs? How much of what, for whom, by when?</p>	<p>as above</p>	<p>What external factors must be realized to obtain planned outputs?</p>
<p>INPUTS - HOW What are the key inputs by USAID, GRZ, CAU? Activities to be undertaken.</p>	<p>Budget: for each category of inputs identify the quantity and or \$ value by year.</p>	<p>as above</p>	<p>Identify Conditions Precedent, if any, to project implementation for USAID, GRZ, CAU.</p>

LOGICAL FRAMEWORK
Guidance for HRD Project

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<p>GOAL This should be directly tied to a CPSP subgoal. However, while HRD contributes to private sector development, there is no target for SMEs specifically or human resources generally. The link is a bit tenuous.</p>	<p>These are identified in the CPSP, with specific baseline data and targets identified in the API.</p>	<p>It must be assumed that USAID will collect this data through other projects.</p>	
<p>PURPOSE In reviewing HRD project documents written over the past few years, a number of purpose statements were found. They varied in content and level of specificity. Some purpose statements tended to be more at the purpose level, while others were at a lower level and appeared to be a restatement of outputs.</p>	<p>There are no national baseline data published on SMEs regarding revenues or investments. It is also difficult to collect these data from trainees, since many do not keep a book of accounts. It is therefore difficult to set targets or to measure progress in this area. Furthermore, increases in revenues and investments may be difficult to achieve within a 2-year project.</p>	<p>The main source of data will be the post-training impact questionnaires, which are trainees' self-assessment of the progress. It is possible that national data will be published in the near future on SMEs.</p>	
<p>OUTPUTS Intended outputs were not detailed in the Cooperative Agreement, but some could be inferred from project planning documents. USAID should specify the expected HRD outputs, particularly for IEC, since it is not clear what CAU's strategy is.</p>	<p>No output targets have been established and it is difficult to determine what they should be, given that CAU intends to offer advanced skills to many of the previously HRD-trained firms. This raises the issue of breadth versus depth of HRD training. Variety of topics and levels of training make it difficult to arrive at a standard set of indicators with objectively verifiable targets.</p>	<p>Verifying this information will largely be subjective assessments of the trainees, trainers, and project implementors. No pre-test or post-test is administered to ascertain information about acquisition of skills, and trainees will report on their own application of skills through the proposed Impact Monitoring Plan.</p>	
<p>INPUTS The target number of training and IEC activities has been stable, but there is some concern that the targets are now unrealistic, given delays in implementation. M&E will begin in early 1995. The committees have not been meeting on regular basis lately.</p>	<p>Most recent budget available at USAID is \$1.794, however there have been major line item adjustments since then (buying additional vehicle, dividing PSSU subcontract between subs and administration). Pipeline analyses, with any budget adjustments, need to be submitted regularly to USAID/Zambia by CAU in Quarterly Reports.</p>	<p>This information should be reported by CAU in their Quarterly Reports. At this point, USAID has limited financial information available, particularly due to the fact that funds are dispersed through a Letter of Credit rather than a voucher system, used for institutional contracts.</p>	

ANNEX F

DATA COLLECTION AND EVALUATION INSTRUMENTS

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PRE-TRAINING QUESTIONNAIRE

13. English Language Skills (Please check)

	Speaking	Reading	Writing
a. Excellent			
b. Good			
c. Fair			

BUSINESS INFORMATION

14. Name of business: _____
15. Your job title or position? _____
16. Business address (street address and PO Box): _____

17. Telephone: _____ Fax: _____
18. Nature of your business: _____
19. How long in business: _____
20. Number of people employed in your business (excluding yourself)? _____

TRAINING INFORMATION

21. Have you attended any previous workshops on this subject? If yes, please describe:

22. Have you participated in any other business/management training(s)? If yes, please list subject, location, year, and sponsor:

23. Are there any specific questions or problems that you would like to have addressed in this workshop? Please describe:

PRE-TRAINING QUESTIONNAIRE

24. What do you hope to gain by participating in this workshop?

25. Do you have any other comments or suggestions?

PRE-TRAINING QUESTIONNAIRE

The following questions are confidential. We appreciate your honest responses and willingness to provide this information which will assist HRD in designing and managing practical training for small and medium scale enterprises.

Selection for an HRD workshop is not determined by the answers to these questions.

ADDITIONAL BUSINESS INFORMATION

26. Is your business registered with the Ministry of Commerce Trade and Industry (MCTI)?
Yes _____ No _____ Do Not Know _____

27. Are you a member of a business association? ___ Yes ___ No

If so, which one(s): _____

Are you currently active in the association(s)? ___ Yes ___ No

28. Briefly describe your business goals: _____

29. Are you currently keeping a book of accounts? Yes ___ No ___

30. Do you have a written business plan? Yes ___ No ___

31. Have you visited a bank or other organization for credit? If yes, please describe:

Participants should — if possible — bring product samples, catalogues, photographs, or other company promotional materials with them. These materials will be helpful in developing a strategic business plan for your business.

Thank you!

HUMAN RESOURCES DEVELOPMENT PROJECT

(Title and Date of Workshop)

WORKSHOP QUESTIONNAIRE

To keep informed about the effectiveness of the HRD project's training activities and to discover areas where our training could be improved, we wish to get your reaction to this training session. We are also interested in your plans for the future. Please complete this questionnaire frankly and thoroughly.

Name: _____

C. WORKSHOP OBJECTIVES

Rating Scale:

Completely

(1)

(2)

Partially

(3)

(4)

Not at all

(5)

[] 1. Were the objectives clear and realistic?

[] 2. Did the workshop achieve the stated objectives?

[] 3. Did the workshop provide you with new information or insights that will be helpful in your business?

[] 4. Did the workshop develop or improve your skills and knowledge in the subject areas?

5. What were the two or three most important thing you gained from the workshop?

D. WORKSHOP CONTENT, MATERIALS AND METHODS

Completely

(1)

(2)

Partially

(3)

(4)

Not at all

(5)

[] 1. Was the level of the workshop appropriate given your educational background and work experience?

[] 2. Was the course content relevant to your business needs?

WORKSHOP QUESTIONNAIRE

- 3. Were the materials and handouts useful?
- 4. Was there sufficient time to cover all the materials?
- 5. Was there time to answers your questions and address your concerns?
- 6. Were the participants encouraged to actively participate?
- 7. Did you have adequate time to practice or apply the information you were given?
- 8. In what ways can the content and materials be improved?

E. WORKSHOP TRAINERS

Completely		Partially		Not at all
(1)	(2)	(3)	(4)	(5)

- 1. Did the trainers present the information clearly?
- 2. Were the trainers convincing, motivating, and enthusiastic?
- 3. Were the trainers knowledgeable about the subject matters?
- 4. Did the trainers understand your business background and needs?
- 5. Did the trainers take time to ensure that you understood the materials?
- 6. Did the trainers allow time for individual questions and consultations?
- 7. Did the trainers provide constructive comments to you?

WORKSHOP QUESTIONNAIRE

8. Please rate the overall effectiveness of the trainers:

(1) Excellent (2) Very Good (3) Good (4) Fair (5) Poor

[] Trainer X

[] Trainer Y

9. Comments: _____

F. FACILITIES

(1) Excellent (2) Very Good (3) Good (4) Fair (5) Poor

[] 1. Hotel accommodations

[] 2. Food and beverages

[] 3. Meeting room

[] 4. Service

5. Comments: _____

G. WORKSHOP ADMINISTRATION

Completely Partially Not at all
(1) (2) (3) (4) (5)

[] 1. Did you have adequate time and information to prepare for the workshop?

[] 2. Was the information you received prior to the workshop informative and helpful?

[] 3. Did HRD staff provide sufficient support during the workshop?

[] 4. How would you rate the overall management of the workshop?

5. Comments: _____

WORKSHOP QUESTIONNAIRE

H. FUTURE PLANS

1. What plans do you have to apply this training?

2. How do you think your business may improve as a result of this workshop?

3. Do you have any future training plans that will assist you in improving on your business skills?
If so, what is the topic of the course you plan to attend?

I. OVERALL

[] 1. How would you rate this training overall?

Excellent	Very Good	Good	Fair	Poor
(1)	(2)	(3)	(4)	(5)

[] 2. Would you recommend HRD training to others?

Completely		Partially		Not at all
(1)	(2)	(3)	(4)	(5)

HUMAN RESOURCES DEVELOPMENT PROJECT
POST-TRAINING IMPACT QUESTIONNAIRE

Dear Trainee:

As the monitoring and evaluation contractor for USAID, we are seeking information that will be used to improve the quality of the training HRD workshops and to assess their effectiveness. Your responses will be held in confidence and used for analytical purposes only. Your candid feedback will be most helpful. We appreciate your cooperation with this evaluation questionnaire.

Date Today: ___/___/___ NRC Number: _____
 day month year

3. Surname: _____ Middle Name(s): _____

Given Name: _____

4. Business Address (street address and PO Box): _____

5. Telephone: _____ Fax: _____

6. What is your job title or position? _____

7. How many people are employed in your business (excluding yourself)? ___

8. Are you a member of a business association? ___ Yes ___ No

If so, which one(s): _____

Are you currently active in the association(s)? ___ Yes ___ No

9. Name and date of the HRD training workshop(s) you attended:

a. _____

b. _____

c. _____

POST-TRAINING IMPACT QUESTIONNAIRE

10. What new skills did you get from the HRD training course(s)?
Please indicate whether the skills you learned were basic (B) or advanced (A).

- a. Business planning/basic finance
- b. Marketing
- c. Contracting
- d. Managing information systems
- e. Managing for quality in design/production
- f. Managing production
- g. Accounting and managing finances
- h. Managing human resources
- i. Other (specify): _____

11. Which of the following activities have you done in your business? (Check all that apply.)

	Before HRD Training	After HRD Training
a. Established a book of accounts		
b. Prepared a business plan		
c. Developed a marketing strategy		
d. Prepared tenders		
e. MIS (workshop objective unknown)		
f. Introduced quality control techniques		
g. Introduced improvements to production management		
h. Improved recordkeeping and accounting		
i. HR (workshop objective unknown)		

12. How much of what you learned in the HRD workshop(s) have you been able to put into practice in your business? (Check one.)

- a. None b. A little c. A great deal

POST-TRAINING IMPACT QUESTIONNAIRE

13. If you have been able to apply a **great deal** of your training, please describe an example of a change that you have made as a result of the workshop(s). Please be specific.

14. If you have applied **little** or **nothing**, please identify the factors related to the project or internal to your business that may have limited your ability to apply the training. (Number rank the top three reasons.)

- a. Training was not applicable to my needs
- b. Training was too basic; more advanced training needed
- c. Resistance of family members to change
- d. Resistance of business partner, co-workers, or employees to change
- e. Too many other demands on my time
- f. Limited funds, equipment, materials or staff
- g. No longer in business
- h. Other (specify): _____

15. Which of the following activities has your business done since your training? (Check all that apply.)

- a. Applied for new credit
- b. Approached new markets
- c. Improved the quality or quantity of tenders
- d. MIS??
- e. Improved the quality of products/services
- f. Increased production
- g. Improved financial management
- h. HR??
- i. Other (specify): _____

16. Do you think you would have done any of these activities without the HRD training? (Check one.)

- a. Yes b. No c. Do not know

POST-TRAINING IMPACT QUESTIONNAIRE

17. Since your training, has your business changed in the following ways? . (Check one box per category.)

	Not Applicable	Decreased	Same as Before	Increased
a. Amount of credit				
b. Number of clients				
c. Number of contracts				
d. MIS?				
e. Amount of sales				
f. Quality of decision making				
g. HR?				

18. To what extent do you think these changes are direct results of the HRD training?
 a. None b. A little c. A great deal

19. Do you think these changes would have occurred if you had not received the HRD training?
 a. Yes b. No c. Do not know

20. What factors do you think limit the impact of the training on your business?

- a. Economic conditions
- b. Cultural/legal biases against women
- c. Government policies
- d. Attitudes/policies of banks
- e. Strength of competitors
- f. Availability of skilled labor
- g. Availability of equipment and raw materials
- h. Other (specify): _____

21. Have the gross revenues of your business increased since the HRD training?
 a. Yes b. No c. Do not know

POST-TRAINING IMPACT QUESTIONNAIRE

If yes, by what percentage? (Check only one.)

- a. 1-25%
- b. 26-50%
- c. 51-75%
- d. 76-100%
- e. 100-150%
- f. Over 150% (please specify): _____

22. To what extent did outside economic conditions (such as inflation) affect your revenues?
 a. None b. A little c. A great deal

23. What have you done with the increased revenues? (Check all that apply.)

- a. Deposited in business bank account
 - b. Made payments on business loans
 - c. Paid for business advice
 - d. Trained self or employees
 - e. Hired additional employees
 - f. Bought materials and supplies
 - g. Purchased new equipment, building or land
 - h. Added new products/services
 - i. Started new business
 - j. Used for personal expenses
 - k. Other (please specify): _____
-

24. What were the byproducts or other benefits of your training? (Check all that apply.)

- a. New contacts (sources of materials, referrals, clients)
 - b. Information about business associations
 - c. Increased understanding of the role of government in business
 - d. Increased awareness of the importance of good management skills
 - e. Increased confidence
 - f. Improved presentation skills
 - g. Increased motivation
 - h. Better separation of business and family matters
 - i. Other (specify): _____
-

POST-TRAINING IMPACT QUESTIONNAIRE

25. What is the single greatest benefit you gained from the HRD training?

26. Have there been any negative results of the HRD training? Yes No

If so, please describe:

27. What recommendations do you have to improve the HRD training program?

28. Would you recommend HRD workshops to others?

a. Yes b. No c. Do not know

THANK YOU FOR YOUR COOPERATION

ANNEX G**DATA ANALYSIS GUIDANCE**

The purpose of this annex is to provide guidance to those responsible for analyzing the data from the questionnaires. The annex gives a basic rationale for why each question is included and how the responses can be used. Therefore, the guidance should be reviewed when issues arise as to the relevance or necessity of including a particular question, or if a revision to the questionnaires are proposed. However, once the questionnaires are finalized, caution should be taken when making alterations, as any changes to the question will affect the extent to which the data can be aggregated and can be compared to earlier or later points in time.

The three questionnaires in Annex F were designed based on (1) questionnaires used currently by the CAU management team, (2) the "Draft Issues Table" and (3) the "Draft Table of Indicators for Assessing In-country SME Training Workshops." The two tables were developed by the Washington HRDA team based on discussions with key information users and a review of the current HRD training plan. Thus, if changes are made in the tables to more accurately represent the training plan or training objectives, the questionnaires must be adapted accordingly. Again, once the questionnaires are final, any changes to them should be carefully considered.

The following guidance is divided into three sections, corresponding to each of the three questionnaires. Within each section, the guidance is numbered to correspond to the number of each question on the respective questionnaire.

Depending on the sophistication of the data base employed by the data analysts, the responses can be tabulated and cross-tabulated to isolate particular variables of interest to the information users. At a minimum, data should be cross-tabulated by gender to provide USAID analysis on the participation and impact by gender.

I. PRE-TRAINING QUESTIONNAIRE

A. PERSONAL INFORMATION

- 1-5. Biographical information to establish a PTMS file at USAID; also to be used for tracking and follow-up.

B. EDUCATIONAL INFORMATION

- 6-7. Background information for those who design and implement the workshops. Information also to be entered into PTMS.

C. BUSINESS INFORMATION

- 8-11. Business data to establish a PTMS file at USAID; also to be used for tracking and follow-up. Questions 9 and 10 also to be used for selecting trainees since HRD targets owners/operators of businesses and attempts to balance the number of rural and urban trainees.

- 12-13. To be used as a basis for selecting trainees.

14. To be used as a basis for selecting trainees; also serves as baseline data on growth of business/employment generation.

D. TRAINING INFORMATION

- 15-19. Helps designers, implementors, and managers tailor the workshops to the selected trainees.

E. ADDITIONAL BUSINESS INFORMATION

- 20-25. To further help designers, implementors, and managers tailor the workshops to the selected trainees. Also serve as baseline on the status of participating firms, especially in terms of the impact of the Business Planning and Basic Finance Workshop. Other questions can be added to establish baseline data for other workshops, depending on the stated objectives for each workshop.

II. WORKSHOP QUESTIONNAIRE

A. WORKSHOP OBJECTIVES

- 1-2. Objectives: indications of whether the workshop objectives were clearly stated, realistic, and met during the training workshop.
- 3-5. Skill acquisition: indicators for the relevance of workshop design and for capacity building.

B. WORKSHOP CONTENT, MATERIALS, METHODS

1. Design: indicator for the selection process, as well as the design and delivery of the workshop.
2. Design: indicator of the relevance of the workshop to the needs of the trainees; may be an indication of whether the design and materials were adequately adapted for local use.
3. Materials: indicator of the relevance of the materials.
- 4-5. Design: indicators of the appropriateness of the course schedule.
- 6-7. Methods: indicators of the extent to which adult learning and participatory methods were used in the workshop; indication of whether mechanisms were employed to obtain feedback from trainees during the workshop.
8. Recommendation: to be used by those who design and deliver the workshops.

C. WORKSHOP TRAINERS

- 1-2. Presentation: indications of the skills of trainers.
- 3-4. Substance: indications of the relevancy of the background and experience of the trainers.
- 5-7. Methods: indications of the extent to which trainers employed adult learning techniques.
8. Rating: indication of quality of each trainer.
9. Comments: this is an opportunity for respondents to make any type of observation about the trainers.

D. FACILITIES

- 1-5. Ratings: indications of the quality of the services and facilities at the training site.

E. WORKSHOP ADMINISTRATION

- 1-5. Management: indicators of the management support given to trainees before and during training by HRD project managers.

F. FUTURE PLANS

- 1-2. Intended Application/Expected Impact: indicators of skill acquisition and the likelihood that the skills will be applied to the business and will have a positive impact.
3. Training Plans: indicator that greater depth is needed and planned. Answer will also serve as a general indication of training needs/demands and whether the proposed HRD training plan will meet the expressed needs.

G. OVERALL

- 1-2. Rating: indications of the overall quality of the workshop.

III. POST-TRAINING IMPACT QUESTIONNAIRE

- 1-4. Name, address, title: tracking trainees.
5. Employees: indicator of firm's growth and job creation in the sector.
6. Business association: measures changes in the activity level among trainees, which is a secondary objective of the basic workshop; proxy indicator of impact on sector.
7. Relationship to project: to track individuals/firms that have attended more than one workshop; to determine whether the number and type of workshops result in greater impact, this question may be cross-tabulated with other questions; to assess impact of a particular workshop (not possible to link impacts to particular workshop if trainee attended more than one workshop).
8. Skill acquisition: indicator of increased capacity of the trainee. The choices correspond to the titles of the current list of planned workshops. If a trainee attended the workshop "Business Planning and Basic Finance", they should, at a minimum, place a letter "B" (basic) under a.
9. Application of skills: indicator of improved performance of trainee. The choices correspond to the objectives of the current list of planned workshops. No workshop descriptions were available for the workshops on management information systems (MIS) or human resources development (HR). This change is expected to occur within three months after attending an HRD workshop.
10. Extent of application: indication of the degree of improved performance.
11. Example of application: anecdotal description of improved performance. There is no need to code these responses; the question is an effort to collect qualitative information and to provide quotable material for reports.
12. Internal constraints: the response options include factors that are internal to the HRD project as well as those that are internal to the firm's operations. The responses to this question should be useful to those who manage, design, and deliver the workshops.
13. Improved performance of firm: indicator that change has occurred within the firm, which is considered the final pre-condition to impact. The choices correspond to the objectives of the current list of planned workshops. No workshop descriptions were available for the workshops on management information systems (MIS) or human resources development (HR). This change is expected to occur within three months after attending an HRD workshop.

14. **Criticality:** an indicator of the likelihood that the change would have occurred without the workshop.
15. **Impact on firm:** the responses represent the expected results (impacts) from the current list of planned workshops. No workshop descriptions were available for the workshops on management information systems (MIS) or human resources development (HR). This change is expected to occur within one to three years after attending HRD workshop.
16. **Attribution:** this in an attempt to link the impact to the intervention (workshop).
17. **Criticality:** an indicator of the likelihood that the impact would have occurred without the workshop.
18. **Exogenous Factors:** influences that are external to the management of the HRD project and to the management of the firm. These are beyond the control of management of the HRD project or the trainees. The results from this question may be useful to program planners at USAID or within the government of Zambia.
19. **Increased Revenues:** this a long-term impact on the firm; aggregation of increased revenues also serves as a proxy indicator of impact at the sectoral level. This may be difficult for trainees to ascertain, since many of them report that they have not kept a book of accounts in the past and thus are unable to quantify their revenues or profits.
20. **External Factors:** indicator of the extent to which increased revenues can or cannot be linked to HRD training.
21. **Increased Investments:** this is an indicator of long-term impact on the firm; the aggregation of changes on firms is a proxy indicator of sectoral impact.
22. **By products:** these represent unplanned and unexpected impacts.
23. **Greatest Benefit:** an open-ended question that provides the respondents with an opportunity to express themselves; may offer additional insights into the unplanned impacts. It is not necessary to code this question. However, taking quotes from among the responses may be useful in reporting anecdotal and qualitative data.
24. **Negative Impacts:** these also represent unintended impacts. No coding necessary.

25. **Recommendations:** responses to be used by HRD managers, as well as those who design and deliver the workshops. Depending on the nature of the responses, they may also be useful for program planners within USAID and the government of Zambia.

26. **Recommendations:** this is an overall indicator of the level of the trainees' satisfaction with the workshop.

ANNEX H

REPORTING GUIDANCE

I. GENERAL GUIDANCE

In preparing project reports, the following ideas should be considered:

- Summarize key issues in an executive summary not to exceed two pages.
- Include a table of contents.
- Limit the content to issues regarding to the project goal, purpose, outputs, and inputs and related priority issues in each category. (See the Issues Table in the body of the report.)
- Use the same approved format each time a particular report is prepared. Organizing the reports to correspond to the priority issues will facilitate the review by project managers and decision makers, as well as external project evaluators. Keeping a consistent history will also facilitate preparation of USAID PIRs and the CAU final report.
- Present data in tables, charts or other graphic forms whenever possible.
- Attach long descriptive pieces and lists as annexes, as well as information that is peripheral, raw data (questionnaires or tabulation of questionnaires), or significant correspondence such as contract modifications. Keep the body of the report lean and user-friendly.

Please refer to the table on Timetable of Roles and Responsibilities for identifying who is responsible for preparing each report and how frequently they need to be submitted.

II. SUMMARY OF REPORTS

The following table summarizes the information that should be covered in each report. The items in the vertical column come from the Issues Tables in Section IV.A.3 above and the items in the horizontal row come from the Section IV.D. above.

The table is intended to focus attention on the priority issues that the key information users have identified, and to identify which reports should address each issue.

REPORTING ON PRIMARY INFORMATION NEEDS

	PTMS	Training Provider	CAU Workshop	CAU Quarterly	Quarterly Impact	USAID PIR	CAU Annual
INPUTS (MANAGEMENT)							
CAU Project Implementation				✓		✓	✓
PEC and Training Subcommittee				✓		✓	✓
USAID Management				✓		✓	✓
OUTPUTS (WORKSHOPS, IEC)							
Trainers			✓	✓			
Workshop Design, Content		✓	✓				
Achievement of Objectives		✓	✓				
Information, Education, Communication				✓			
PURPOSE (IMPACT)							
Preconditions	✓			✓	✓	✓	
Individual/Institutional Impact					✓	✓	
Sectoral Impact					✓	✓	
Contextual Factors					✓	✓	
Attribution, Causality, Criticality					✓	✓	
GOAL (LINK TO CPSP)							
SME Needs						✓	
Nationwide Needs						✓	

III. PARTICIPANT TRAINING MANAGEMENT SYSTEM (PTMS) REPORTS

PTMS reports should be produced quarterly by the USAID Training Specialist, reviewed by the Project Manager/HRDO, and presented to other managers. The reports should include, at a minimum, the following:

- (1) narrative summary of the data, highlighting outstanding achievement or concerns;
- (2) graphic presentation of data; and
- (3) PTMS report summaries.

USAID officers should determine which data are most critical to review regularly. At a minimum, the reports should present data on:

- (1) gender of trainees;
- (2) title of positions of trainees;
- (3) number of year the trainee has been in business;
- (4) educational backgrounds of trainees;
- (5) geographic distribution of trainees;
- (6) field of study (or workshop topics).

This data will help USAID determine whether the targeted individuals and businesses are being trained by CAU.

IV. TRAINING PROVIDER REPORT

Within two weeks of completing a workshop, the training provider should submit a report to USAID covering the following topics:

- (1) Workshop Overview - describe the objectives of the workshop, the schedule, the design strategy, and the training techniques used.
- (2) Trainers - present the names and qualifications of each trainer;
- (3) Trainees - describe the trainees, including their professional and educational backgrounds, and the nature of their businesses.
- (4) Trainees' Assessment - summarize the findings from the Workshop Questionnaires completed by the trainees.

(5) Conclusions and Recommendations - comment on the trainee's assessment. Analyze the course, including whether the objectives were met, training successes and problems. Recommendations should cover such issues as the design, content, and methods suggested for future workshops as well as the management support provided by CAU, facilities, selection of trainees, and possible follow-up activities that would be beneficial.

Attached to the report should be:

- (1) Trainee List
- (2) Workshop Schedule/Syllabus
- (3) Tabulation Workshop Questionnaires (keep questionnaires on file)

V. CAU WORKSHOP REPORT

The CAU Workshop report should highlight particular successes or problems with the workshop, and a proposal for what CAU will do in the future regarding each one. This should not exceed three pages and will be submitted to USAID within one month of the workshop. The Training Provider report will be attached to the CAU report.

VI. CAU QUARTERLY REPORT

The Cooperative Agreement with CAU specifies the following for Quarterly Reports:

[CAU] shall submit two copies of quarterly program performance (progress) reports, which coincide with the financial reporting periods described previously, one to the USAID Project Officer specified in the Cover Letter of this Cooperative Agreement. These reports shall be submitted within 30 days following the end of the reporting period, and shall briefly present the following information:

- (1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both. If the output of programs cannot be easily quantified, such quantitative data should be related to cost data for computation of unit costs;
- (2) Reasons why established goals were not met, if applicable;
- (3) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.

The HRDA Washington team recommends the following format for the CAU report:

(1) Executive Summary

(2) Table of Contents

(3) Management Accomplishments and Issues

Achievements and problems regarding staffing, relationships, implementation schedules with a graphic presentation comparing projected to actual. This should contain subsections for each of the major players: CAU/Atlanta, CAU/Lusaka, Committees, and USAID.

(4) Financial Accomplishments and Issues

Actual versus projected expenditures for the quarter; a pipeline analysis with the following categories: total budget, projected expenses for period, actual expenses for period, difference between projected and actual expenses for period, cumulative expenses to date, total budget minus cumulative expenses.

(5) Training Accomplishments and Issues

Completed Workshops, Numbers Trained
Trainers, Training Providers
Workshop Designs and Content
Achievement of Training Objectives
IEC Component

(6) Outstanding Issues

Identification of management, financial, and training issues, analysis of the issues and CAU's recommendation for resolving the issues.

(7) Planned Actions and Activities for the Next Quarter

VII. QUARTERLY IMPACT MONITORING REPORT

The HRDA Washington team recommends that the following topics be covered by the local contractor in the impact monitoring reports:

- (1) Executive Summary
- (2) Table of Contents
- (3) Background
 - Contract Requirements
 - Monitoring Activities
 - Methodology/Sampling Techniques
 - Description of Study Sample
- (4) Impact Findings
 - Impact Preconditions
 - Individual/Institutional Impact
 - Sectoral Impact
 - Contextual Factors
 - Attribution, Causality, Criticality
- (5) Conclusions and Recommendations
- (6) Attachments
 - Monitoring Instrument (questionnaire, focus group guide)
 - Tabulations and Cross-tabulations of Questionnaires

VIII. USAID PROJECT IMPLEMENTATION REPORT

The HRDA Washington team recommends following the format currently used by USAID/Zambia for PIRs (the headings typed in bold), with some adaptations to the content.

1. Background and Financial Data

No comments.

2. Project Purpose

USAID and CAU should be consistent in the statements regarding the purpose of the HRD project. The statements contained in the PIR should prevail and should never change.

The goal of the project should also be stated in this section, with clarification of the relationship of the project to the CPSP.

3. Project Description

This section should include a brief description of the contracting mechanism, funding levels, management structure, and management approach, as well as any related amendments. It should also provide an overview of the activities funded under HRD (workshops and IEC), including the objectives, strategies, target audiences, and current training schedule. There is no need to repeat the purpose or goal of HRD in this section.

4. Project Status

Project Highlights

(a) Management Accomplishments

This should focus on project inputs, and subcategories should include:

- CAU/Lusaka and CAU/Atlanta
 - actual versus projected implementation schedule
 - actual versus projected expenditures
- PEC and Training Subcommittee
 - USAID Management
 - Mission oversight of the Cooperative Agreement
 - Mission involvement with project activities
 - Mission reporting to USAID/Washington

(b) Project Accomplishments

This section should focus on project outputs - the workshops as well as the Information, Education and Communication component. Subcategories might include:

- Trainers
- Design and Content
- Achievement of Objectives
- IEC Activities

(c) Project Impact

The HRDA Washington team recommends adding an additional section to summarize findings from the Quarterly Impact Reports provided by a local contractor. Subcategories might include:

- Impact Preconditions (completion of training, skill acquisition, application)

- Individual/Institutional Impact
- Sectoral Impact
- Contextual Factors
- Attribution, Causality, Criticality

Other Training Support Activities

This section would cover any project-related issues that do not fit into any of the sections above.

Significant Management Problems and Implementation Delays

This highlights any issues regarding CAU, committee, or USAID management of the project. Problems should be described, assessed, and then followed by recommended actions to resolve the problems.

Major Actions for Next Period

This should be limited to the most significant management and training activities planned for the next six months.

Major Counterpart Actions During the Last Period

This should address the involvement of the Government of the Republic of Zambia and in particular the Ministry of Commerce, Trade, and Industry. It could also summarize activities of the committees, but not repeat the information already presented above.

IX. CAU SPECIAL REPORTS

The Cooperative Agreement with CAU specifies the following for Quarterly Reports:

Between the required program performance reporting dates, events may occur that have significant impact upon the program. In such instances, CAU shall inform USAID as soon as the following types of conditions become known:

- (1) Problems, delays or adverse conditions that will materially effect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any USAID assistance needed to resolve the situation.
- (2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.
- (3) If any performance review conducted by CAU discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of

this Agreement entitled "Revision of Grant Budget", CAU shall submit a request for budget revision to the Agreement Officer and the USAID Project Officer.

X. CAU FINAL REPORT

The Cooperative Agreement with CAU specifies the following for Quarterly Reports:

The final report covering an evaluation of all activities will be presented no later than the estimated completion date shown in 1.B. above. CAU shall submit two copies of the final report to the AID Project Officer. It will include the entire period of the Cooperative Agreement and include all information shown above.

ANNEX I**GUIDANCE ON PRIVATE SECTOR ADVISORY BOARDS**

The Mission's HRD project has a well-established Project Executive Committee (PEC) and a Training Subcommittee, which were initiated under the Human and Institutional Resources Development (HIRD) project, the predecessor to HRD. The committees have, at various times, played a major role in the direction and management of HRD and have had an overall positive impact on the implementation of the project.

Over time, the role of the committees and their membership have evolved. However, the changes have not been reflected in the Terms of References for the committees or the guidelines for committee membership. These two issues were brought to the attention of the HRDA Washington team while they were in Lusaka to develop a monitoring plan. The issues are included in the Issues Matrix in the body of the report and repeated below:

Project Management Priority Question #2:

Are the committees able to provide input into the design and management of HRD?

Possible Criteria for Answering the Question:

Terms of Reference are current and relevant.

Criteria are established for selecting and retaining committee members.

CAU provides members with project reports and other relevant information.

PEC meets on a quarterly basis and the subcommittee monthly.

To address the issues, USAID, CAU and the committees will profit from reviewing the attached excerpt from the HRDA *Workshop Notebook: Managing for Impact*, pages 4-3 to 4-8. The Guidelines for a Private Sector Advisory Board were written for a broad audience, yet they are generally relevant to USAID/Lusaka's PEC and Training Subcommittee.

REINVESTING IN TRAINEES: NETWORKING AND STRENGTHENING ALUMNI ASSOCIATIONS

Who among us builds a house carefully designed to take into account the precise needs of our family, then does nothing to maintain the structure? We all admit that when completed, our new home requires regular attention in order to extend its usefulness to family members, our intended beneficiaries.

Building human capacity is no different. We recruit, select and place participants in expensive, well-designed training programs, then cut short the follow-on maintenance once the trainee has returned. Training for high impact demands an entirely different approach from the Mission, which will be discussed during these sessions.

The popular term "follow-on" implies a sustained relationship cultivated between USAID and the participant, beginning at the inception of selection and continuing long after application of the acquired skills at the work place. We have all been exposed to this new concept, but few of us have absorbed the ramifications — or recognized the benefits — of well-conceived, comprehensive follow-on programs. The sessions under "Re-investing in Trainees" will upgrade our knowledge of the importance of follow-on, and give us practical ways to embark on workable - and manageable - post-training activities.

By appreciating "impact" and fine-tuning the management of our resources, we then recognize that USAID should not simply train individuals, hoping that they will apply their knowledge to their country's development. We need to establish multiple relations - between employer, trainee and USAID - to ensure that our human resource investments produce positive changes, both at the individual and institutional level. If we're fortunate along the way, the investments will effect change in a sector, among a target group, nationally or regionally. But first, we must "re-invest" in the trainee in a planned, proactive way.

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A variety of topics will be addressed under this theme so that participants will:

- ◆ appreciate the key role played by follow-on in achieving high-impact training;
- ◆ learn strategies for strengthening alumni associations and supporting professional networks;
- ◆ learn how to draft scopes of work and budgets for training services and technical assistance.

B

RE-INVESTMENT STRATEGIES

One way to increase the long-term impact of training is not to forget about participants after they have finished their training program. By recognizing the importance of "re-investment" or "follow-on" and making available staff time and resources to support creative activities, USAID will increase its "return" on participant training investments.

Many Missions have tried a number of strategies — some successful, some failures — and what works in one country with one group of participants may not work with others.

In general, Mission should look at two potential groups of participants for their re-investment activities.

THE "FORGOTTEN" GENERATION

The first group is those who have already returned from U.S. or third-country training or who benefitted from a program delivered in their own country. In most cases, they have already been "forgotten" for some time. The Mission will have to invest time in learning about these participants to discover what they can contribute to achieving development objectives. Some ways to learn about these individuals are:

- **Sponsor "returnees" meetings.** Many Mission employees may be interested in meeting and getting to know returnees. The meetings could focus on a particular sector such as Health or could bring together all the graduates of American universities. Put ideas for such a meeting in a memo and circulate it in the Mission and within the American community. You might be surprised at the response. Make sure each meeting has a well-defined objective and a clear agenda. The meeting could generate an article for the local paper or serve as a brainstorming session for a new project design.
- **Initiate a Mentors Program.** One idea is to seek American and returnee volunteers to assign to advise a newly selected candidate for a graduate degree. Organize an initial get-together for everyone to meet and share phone numbers. This activity requires a strong leader in the Mission to give everyone a push. It was started very successfully in Burundi — with a game show organized to bring together the first group of mentors and "mentees."
- **Meet with returnees to discuss their starting a Returned Participants Association.** A sample discussion piece for such a meeting is attached and is included on the workshop diskette.

Q/E

- **Actively seek out returnees** and involve them in Recruitment and Selection Panels, pre-departure orientations, and question and answer sessions during in-country English Language Training.

THE NEXT GENERATION

USAID's greatest potential for re-investment success is with the generation of participants that are currently in training or who have just been selected for training. By involving each participant and his/her nominating institution more fully in the design and implementation of the training program, the Mission will make an early investment in commitment-building that, if carefully nurtured, will show tremendous returns.

Here are some simple ways to connect with participants now so that you will not "lose" them later on:

- **Communicate!** If your office has several professionals working in it, assign each participant to a specific individual. The participant will know who to talk to and the training specialist will be responsible for knowing all the details of that trainee's program. Visit the participant's workplace. Meet with his or her supervisor. Seek out ways to keep in touch at every step.
- **Clarify commitments.** Make sure that the participant understands his/her responsibilities towards the nominating firm or institution, towards USAID, and towards the home country. Spell out the estimated length of the program and the potential sacrifices.
- **Encourage networking.** Encourage trainees to network with other trainees from their country, to establish long-distance relationships with their nominating institution, and to give of their own time and energy to institutions and groups in the country of training. Often the most valuable lessons are learned from serving in community and volunteer groups and not in the classroom.



What is a Returned Participants Association?

A Returned Participant Association is what its members want it to be. It can help members maintain contacts with people, places and ideas encountered during training. It can utilize the resources and knowledge of its members to pursue professional objectives and promote the economic development of Country Y. It can provide a vehicle for sharing ideas and resources.

How can we start one?

Returned Participants themselves must be the guiding force behind the Association. Depending on local circumstances, it can be a club, a membership association, or even a non-governmental "not-for-profit" organization. The group will need to rely heavily on its membership for resources and expertise as well as personal sacrifices of time to organize and implement programs and activities.

Can USAID help?

Probably. The X Project of USAID is required to implement a number of follow-on and evaluation activities with returned participants. If a Returned Participants Association makes proposals to the X Project for specific activities with professional and development objectives, the Project may provide funding assistance to implement selected activities.

The Association might also be able to provide a number of services to the X Project such as assistance in pre-departure orientations, helping participants to define training objectives, meeting with returnees to evaluate training effectiveness and carrying out impact evaluations of training on the development of the private sector in Country Y.

USAID and the X Project can only provide funding for services and activities if the Association has well-defined goals and a membership willing to serve.

What now?

You tell us. If there is an interest in forming such an association, please contact the X Office at USAID/Y. Returnees need to be the makers and shapers — but we are willing to provide moral support and other assistance to help you try to form such an association. The ball is in your court!