

Short-term training projects: Guidelines and Performance Indicators



Australian Agency for International Development



Short-Term Training Projects: Guidelines and Performance Indicators

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Abbreviations

ADS	Australian Development Scholarship
AMC	Australian Managing Contractor
AMS	Activity Management System
AusAID	Australian Agency for International Development
EEO	Equal Employment Opportunity
HLC	High Level Consultations
IELTS	International English Language Testing System
IS	Institutional Strengthening
MIS	Management Information System
MoU	Memorandum of Understanding
MOVs	Means of Verification
NGO	Non-Government Organisation
PCC	Project Coordination Committee
PDD	Project Design Document
PID	Project Implementation Document
PNG	Papua New Guinea
PMT	Project Management Team
SIMS	Student Information Management System
SoS	Scope of Services
STT	Short-term Training
TA	Technical Assistance
TAG	Technical Assistance Group
TRMG	Technical Review and Monitoring Group
TNA	Training Needs Analysis
ToR	Terms of Reference

Executive Summary

This report aims to assist AusAID develop a fuller understanding of how to better support the design, monitoring and evaluation of short term training (STT) and capacity building projects and programs funded through the bilateral aid program. The target audience for the report is AusAID officers in Australia and overseas whose responsibilities include these project matters.

Where appropriate the report provides some operational guidelines and options. These are not meant to be prescriptive as the report is a working document. Guidelines and proposals in the report should be viewed as providing a framework for further consideration, for implementation depending on contextual variables, and for improvement through reflective practice.

The report was prepared in Canberra over a five week period in January and February 1988. Three principal sources of information were used in the compilation of the report: document review and analysis; interviews with AusAID staff and Australian Managing Contractors (AMC); and meetings with the advisory group concerned with this review. Documents reviewed included those relating to STT and capacity building projects in nine country/regional programs, namely: India, Indonesia, Pacific Islands (Fiji, Kiribati, Samoa and Tonga), Papua New Guinea, Philippines, South Africa, Mozambique, Vanuatu, and Vietnam. Interviews, generally using a semi-structured technique with a list of questions to focus discussion, were conducted with more than 30 AusAID staff and with representatives of four AMCs with experience in the management of STT activities. Several meetings of the advisory group were held during the consultancy as a forum for progress reporting, guidance and discussion of key issues. Draft sections of the report were circulated to specialist sections in AusAID for comment.

The report is presented in five chapters, the main themes of which are summarised as follows. Chapter 1: provides an introduction to the report, why the work was commissioned and how it was executed. Chapter 2: presents a review of existing design documents for STT projects and identifies design characteristics of these projects that are likely to support the effective delivery of short courses. Chapter 3: is divided into two main sections which provide (i) an overview of issues relating to data collection and storage, and (ii) an

overview of issues to consider in designing instruments for evaluating learning outcomes. Chapter 4: presents guidelines for monitoring participants' progress, quality of course trainers, and the quality and relevance of course content. Chapter 5: has two main sections which provide (i) guidelines for assessing training outcomes on the return of participants to the workplace, and options for post training reinforcement strategies.

The following are among key issues arising during the conduct of the consultancy:

- ⊗ Some of the STT and capacity building interventions are described as *projects*, and some as *programs*. However, in the design documents reviewed there is no clear or consistent definition of these two terms. It would therefore be useful for AusAID to clarify its own definitions of these two approaches, as there are implications for how designs are prepared and for contracting and management arrangements. There are nevertheless many common design, monitoring and evaluation issues that must be addressed whether following a program or a project approach. This report focuses on these issues of common concern.
- ⊗ There is also no clear agreement as to what defines a short-term training activity. For the purpose of this report, we have taken it to be training of less than one year in duration, which does not lead to a formal award. It should also be noted that we have used the terms 'capacity building' and 'institutional strengthening' interchangeably.
- ⊗ The contracting of STT and capacity building projects is a priority concern of the AusAID officers consulted. Contractual issues are addressed in Chapter 2, but it should be recognised that the authors do not claim to be specialists in this area. Our observations should not therefore be interpreted as recommendations, but rather be seen as providing a basis for further discussion within AusAID.
- ⊗ In some project design documents there is an assumption that STT projects are implicitly capacity building activities. An important distinction to be recognised is that training is not always an appropriate solution to deficiencies in either individual or organisational performance.
- ⊗ Measuring the success of most STT activities will be difficult to verify and quantify objectively. Significant reliance must

therefore be placed on assessment of *qualitative* data from participants and the representatives of counterpart agencies. Such evaluation can be recorded using a rating scale, which allows quantification and comparison of results over time. Because the cost of evaluation increases with complexity, careful consideration should be given to the need for, and form of, data to be collected from STT activities.

- ④ STT and capacity building projects should be adequately resourced to allow the AMC, in cooperation with counterparts, to establish an appropriate Management Information System (MIS) during the first phase of project implementation. This should be designed to provide information on project activities, outputs and outcomes for use by all project stakeholders. While AusAID can stipulate requirements for key data elements, each project will need to develop its own MIS appropriate to the local context.
- ④ Monitoring and evaluation systems should not be designed principally to feed information to the AMC, the PCC, and AusAID. If local capacity building is to be supported, the MIS must also serve the information needs of counterpart agencies and provide for local feedback mechanisms.

This report is best seen as a work-in-progress document which has identified a range of issues of current significance to STT and capacity building projects. It is hoped that our observations on these issues will provide a sound foundation and framework for the follow-up work that will be required.

1 Introduction

1.1 Background

1.1.1 Purpose and rationale

This report has been prepared to assist AusAID develop a fuller understanding of how to better support the design, monitoring and evaluation of short term training (STT) and capacity building projects which are being funded through the bilateral aid program.

This is of current concern given that there are now at least nine country or region specific STT and capacity building projects at various stages in the AusAID project cycle. These projects range in value from A\$2 million to over A\$50 million. All are using a relatively new approach to training management which provides for an Australian Managing Contractor (AMC), rather than AusAID, to manage the sub-contracting of others to deliver the training. These projects all aim to provide a mechanism for responding in a flexible way to requests from partner governments for targeted training, with the objectives of either skills transfer to individuals or capacity building within organisations.

Each of these projects has been designed by different teams of AusAID staff and consultants, and there has been little opportunity for each to learn from the experience of the others. While the variety of project designs prepared to date partly reflects the different needs and circumstances of different countries, there are some useful approaches which have general applicability.

The target audience for this report is those AusAID officers working in Australia or overseas who have responsibilities for managing the design, and monitoring the implementation of STT and capacity building projects. The report aims to provide these officers with a chance to reflect on the design, management, and monitoring and evaluation issues associated with these projects, thereby facilitating continuous improvement in all aspects of AusAID's support to STT.

This report tries, where appropriate, to provide some operational guidelines. However it would not be appropriate, particularly at this early stage in the development of this type of project, to try to be too prescriptive. We do not yet know enough. The report should therefore be seen as a working document and used as an input to the

process of improving project cycle management for STT and capacity building projects.

1.1.2 Terms of reference

The terms of reference, which the consultants worked to, are provided below.

1. Complete a desk review of the design of AusAID's current short-term training and capacity building projects which identifies the principal, shared characteristics of those designs;
2. Provide AusAID with advice on:-
 - the characteristics of short-term training and capacity building projects which are likely to ensure effective delivery of short courses;
 - options for guidelines and performance indicators for monitoring course participants' progress, quality of course trainers and quality and relevance of course content;
 - guidelines and performance indicators for assessing the effectiveness of training outcomes in terms of participants' performance on return to the workplace;
 - options for post-training reinforcement strategies following participants' return to the workplace;
 - recommendations on the collection, storage and archiving of assessment data; and
3. Incorporate the above in a report to AusAID

1.2 Report structure and method

1.2.1 Structure

The report is divided into 5 chapters, the main themes of which are summarised below:-

- 🌐 **Chapter 1** provides an introduction to the report and explains why the work was commissioned and how it was carried out.
- 🌐 **Chapter 2** provides a review of existing design documents for STT and capacity building projects and identifies the design characteristics of these projects which are likely to support the effective delivery of short courses.
- 🌐 **Chapter 3** is divided into two main sections which provide (i) an overview of issues relating to data collection and storage,

and (ii) an overview of issues to consider in designing instruments for evaluating learning outcomes.

- **Chapter 4** provides guidelines for monitoring course participants' progress, quality of course trainers and the quality and relevance of course content.
- **Chapter 5** is divided into two main sections which provide (i) guidelines for assessing training outcomes in terms of participant's performance on return to the workplace, and (ii) options for post training reinforcement strategies.

1.2.2 Method

The draft report was prepared in Canberra over a five week period between January 7 and February 10 1988. Two consultants were engaged to research and write the report, namely Dr. David Sloper (Education and Training Specialist) and Mr. Jonathan Hampshire (Project Design and Appraisal Specialist).

The AusAID task manager, Ms. Carolyn Brennan, provided professional direction and support to the team.

The methods used to collect information and compile this report included:-

Document review. Documents reviewed included: Project Design Documents (PDDs), Scope of Services (SoS) and Basis of Payment, and a selection of course completion reports, course evaluations and project quarterly reports. STT and capacity building projects from nine country/regional programs were reviewed in detail, namely:-

- India
- Indonesia
- Pacific Islands (Fiji, Kiribati, Samoa and Tonga)
- Papua New Guinea
- Philippines
- South Africa
- Mozambique
- Vanuatu, and
- Vietnam

A full list of documents reviewed by the consultants is provided at Annex 1.

Interviews. The consultants met with more than 30 AusAID staff, either individually or in groups, and with representatives from four AMCs with experience in the management of STT activities. A semi-structured interview technique was generally used, using a checklist of key issues as a focus for discussion. Drafts of material prepared by the consultants were provided during the assignment to the task manager and to officers from AusAID's contracts section for their comment and feedback. A list of those people consulted is provided at Annex 2.

Advisory group meetings. AusAID established an advisory group which met prior to the consultants' assignment and twice during report preparation. This group provided a forum to which the consultants could present their views, and from which they received guidance as to what AusAID's collective concerns were in the context of this consultancy.

Many thanks are extended to all those who contributed their time and ideas.

2 Improving Project Design

2.1 Introduction

This section of the report provides a discussion of key project design issues which are likely to influence the effective delivery of AusAID STT and capacity building activities. Given that the projects under review have not yet been fully implemented, the discussion is not informed by an evaluation of implementation results.

To assist directly those staff responsible for designing and appraising this type of project, an appraisal format is attached at Annex 3. This aims to help the appraiser systematically review the project design and focus on any issues which may be inadequately addressed in project documents and require further work before final approval and contracting. The appraisal criteria included in the format are offered as examples of key questions that need to be asked and not as an exhaustive list. Different circumstances and users will also require that other specific questions be asked.

No one model can be prescribed for the design of short-term training and capacity building projects. Different country circumstances and different projects will require that designs differ, *inter alia*, in their objectives, scope of activities, management arrangements and contracting options.

Nevertheless some common issues need to be addressed by all short-term training and capacity building projects, and some features of ‘good’ designs can be identified. These are discussed and described in the text below under the following main headings:-

- 2.2 Design process and product
- 2.3 Training design and delivery
- 2.4 Project coordination and management
- 2.5 Contracting and basis for payment
- 2.6 Sustainability

Monitoring and evaluation issues are dealt with separately in Chapters 3, 4 and 5.

2.2 Design Process and Product

2.2.1 Program vs project approach

Some PDDs emphasise that they provide a *program* rather than a *project* approach. This is an important distinction which has significant potential implications regarding the structure and content of design documents, and the development of appropriate contracting mechanisms. Features of a program as opposed to project approach appear to include:-

- ⊗ Greater flexibility is given to implementing agencies to determine the scope of individual training activities once implementation starts, as long as they fit within program objectives and meet established activity selection criteria
- ⊗ Less detailed specification of individual training activities is therefore required in the design documents
- ⊗ Management arrangements and responsibilities are by implication more devolved

While this distinction should be kept in mind, many of the features which make up a well-designed project will also apply to a program. This report therefore focuses on issues of common concern.

2.2.2 Local ownership and commitment

A core lesson learned from the evaluation of development assistance programs and projects is that successful interventions must incorporate (and develop) strong local ownership and be built on a demonstrated local commitment to achieving project objectives. This is particularly so for activities designed to build local capacity. Donor driven projects (even appropriate ones) do not generally yield the desired results.

Project design documents should therefore (i) provide some evidence which demonstrates this local commitment, and (ii) incorporate design features which support local ownership. This is part of the documented outcome of undertaking an analysis of stakeholder interests and concerns, existing organisational arrangements and resource allocation and management procedures.

The type of evidence one might look for could include:-

- ⊗ A supporting policy and program framework. This should be evidenced in the project design through reference to relevant

legislation, policy documents, strategy papers and corporate plans.

- Existing and future program or project funding commitments by local agencies which support complementary activities as evidenced through budget documents and expenditure records.
- Active involvement of local agencies and individuals in initiating and managing project preparation. Evidence might include local input into preparing project documents and the record of meetings and workshops held to develop ideas.
- Commitment of local staff to full or part-time jobs which are focused on project related activities.
- Project coordination and management arrangements which allocate clear responsibilities and support local involvement in decision making. It is generally desirable, for example, to have the Project Coordination Committee (PCC) chaired by a local coordinating agency and to require the target agency to be actively involved in such activities as training needs analysis (TNA), the design of the training activity, the coordination of participant selection and the provision of logistical and administrative support to training implementation.

2.2.3 Managing the design process

The quality of project design has been identified as an important factor in supporting the effective delivery of development assistance projects. Our review of project documents indicates that this quality is at present highly variable. How AusAID manages the feasibility study and design process is therefore an issue requiring comment. While each project will have different requirements, good designs will be facilitated through ensuring that:-

- Adequate preparatory work is undertaken in the field to collect background information, documents and other data before a feasibility study or design team is mobilised. For larger or more complex projects a pre-feasibility study is a good way to do this.
- Local counterparts are identified as active feasibility or design team members.
- Enough time is allocated to Australian team members to work with local staff using participatory approaches, incorporate local ideas and concerns and provide regular feedback to

stakeholders on design ideas. These requirements should be clearly articulated in the design team scope of services.

- ④ A formal presentation is given by the design team to local agencies to outline the proposed project design and solicit further local input before the Australian team members conclude their in-country work.
- ④ The design document is written in a clear and concise style.
- ④ The design document is provided as a draft to project stakeholders for their further input and endorsement. This may be time-consuming because of translation requirements, poor communication infrastructure and multiple stakeholders, however the longer term benefits of promoting this local input should be kept firmly in mind. At a minimum, an executive summary of the design document should be translated and distributed to recipient government agencies.
- ④ An aide-memoire is prepared before the Australian design team completes their in-country work.
- ④ The AusAID Task Manager takes overall responsibility for finalising the design document. Consultants may be used to help prepare the design, however AusAID must take final responsibility for the quality and consistency of the product before it is sent out to the public.
- ④ The design document and the scope of services are consistent.

2.2.4 PDD structure, content, status and users

In reviewing existing design documents we have noted the following points concerning their content, structure, status and users:-

- ④ **Structure.** The structure and content of each design document have some features in common but also as many which differentiate them. Some differences are to be expected, for example different authors, different country circumstances, different types of project, different PDD guidelines. Some differences are more than contextual variables, however, and carry significant contractual implications. There would therefore be significant advantage in establishing a more consistent framework for the design of this type of project. This would help ensure that key design issues are systematically and consistently addressed in a way that better meets design quality requirements and AusAID's management information needs.

At a minimum, PDDs should provide a clear rationale for the project in development terms, focused and clearly specified objectives and outputs, and a management and financing framework which is understood and agreed to by all key stakeholders. Clarity of design, rather than complexity, should be highly valued.

- Flexibility.** Project designs should guide, but not constrain, those tasked with implementation. The PDD should not therefore try to specify or prescribe those details of the project which are best dealt with by the implementing team members. If desired objectives and outputs are clearly identified, then how these might be achieved (activities and inputs) should require less detailed specification at the design stage. A design which ‘lets the managers manage’ within clear procedural guidelines and with agreed quality assurance criteria is a commonly recognised feature of good projects.

One way of promoting this end is to allow for a project inception period (maybe six months to a year) during which resources are slowly phased in and the design is further refined and more clearly specified. A less ambiguous version of this approach is the ‘design and implement’ style of contract currently being used by AusAID for some of its larger projects in PNG.

Flexibility should be built in to project implementation through the ongoing planning and review process. PDDs that specify activities in too much detail can quickly lose their relevance due to changes in both the internal and external environment. Annual plans facilitate this flexibility.

Flexibility can also be promoted by allowing the AMC to prepare a project inception or situation report within the first three to six months of project implementation. While AusAID appears to have dropped the PID approach, some mechanism which allows the project design to be updated by those responsible for implementation (e.g. an inception report or first annual plan) is essential if the core of the original design is to remain a relevant and useful management tool.

A flexible feature of some projects is to include a component which provides for funding ad-hoc training activities. Such activities must generally still be approved by the PCC, but do not need to be part of the approved annual or six-month

training program. Adequate administrative support capacity must nevertheless be available to deal with this additional work and should be described in the project design.

- Logframe matrix.** Each of the PDDs reviewed included a Logframe matrix, however it is clear that these have been prepared in different ways and for different reasons. It appears that some logframes have been prepared after, or incidental to, the main text of the PDD. This is evidenced by the fact that the text and the matrix are not always consistent in their description of key components and the specification of indicators and means of verification. The impression is therefore given that the logframe has been completed as a requirement (fill in the boxes) rather than being used as an analytical tool during the design process.

If the Logframe is to remain a required element of the PDD, overcoming this problem necessitates that at least one design team member has skills and experience in using the logframe approach. Work on the logframe structure must also be initiated early in the design process and be undertaken prior to writing up the description of the project, including monitoring and evaluation arrangements.

- Risk matrix.** Donor financed development projects are risky by nature. They must attempt to bridge a range of development, communication and cultural gaps in what is often an unstable, uncertain and poorly resourced local environment. To help ensure that the project is realistic and implementable, these risks must be assessed as part of the feasibility study and, where possible, accounted for and mitigated in the design.

The logframe and the risk matrix (included as part of almost all PDDs) both provide an analytical and presentational structure for assessing risk. The issue arising is how these tools are actually used and whether or not they inform the design or are completed as a format-filling requirement. For example, identifying a key risk as ‘the lack of counterpart funding to support training’, without then addressing this directly in the design (e.g. by removing the requirement or proposing a more realistic funding mechanism) does not really serve any useful purpose.

- 🌐
Status and users of the PDD. It is not clear what the status and purpose are of the PDD in the context of AusAID’s contracting. Some design documents include attachments specifically relevant to contracting, for example the Scope of Services, Commonwealth procurement guidelines and student allowance rates; others do not. In addressing this issue it is important to recognise that the PDD and the required contracting documents (Scope of Services and basis of payment) serve somewhat different though complementary purposes and are addressed to different users. These core contractual documents must therefore be linked and consistent, but nevertheless separable.

The PDD should be a document which clearly describes the project rationale and scope, as agreed by AusAID and local coordination and implementing agencies. There should be joint ownership of the PDD and it should be a document which can be used as a reference and guide by all those involved in managing implementation, not just AusAID and the AMC. The Scope of Services and basis of payment, on the other hand, focus specifically on detailing the work required of the Australian Managing Contractor and their contractual responsibilities to AusAID. The Scope of Services should be drawn from, informed by, and consistent with the contents of the PDD, but it must also deal with contractual responsibilities which generally will not be sent to the broader group of PDD users.

2.2.5 Project goal and objectives

The desired development outcomes of a project will only materialise if the project can be successfully implemented. While this is self-evident, there remains a strong tendency during design to establish project goals and objectives which are overly ambitious (one might say ‘heroic’) and which do not adequately take account of the range of constraints and risks which the project faces. In other words a good project must be ‘do-able’, and balance the desire to achieve laudable development objectives with a realistic assessment of what a project can do. A successful, if modest, intervention is better than an ambitious failure.

The goal should reflect the wider program focus which the project aims to *contribute* to rather than to be *responsible* for, but should nevertheless be focused on supporting a defined development outcome which can be assessed through ex-post evaluation. For

example, in specifying the goal for an institutional strengthening project targeted at the Ministry for Health, it would be better to write the goal as “To strengthen the capacity of the Ministry of Health to deliver x services”, rather than “To improve the health of the country’s population”.

The project is expected to have a more direct influence on the achievement of project objectives, although project managers themselves cannot usually be held directly or solely accountable for achieving these given that a range of other stakeholders often share joint management responsibility. Objectives should nevertheless be realistic in the context of the broader project setting including constraints and risks, the level of influence a discrete project intervention can be expected to have, and the resources available to do the job. It should also be possible for the project to measure the achievement of objectives through the application of appropriate evaluation tools. The achievability of institutional development objectives as part of STT projects is examined further under section 2.2.7.

Project objectives should also serve the purpose of giving a clear focus to the design of a set of manageable and adequately resourced outputs and activities. Specification of project outputs should focus on the tangible results of project implementation that are under the direct control of project managers. It may, nevertheless, be necessary to make a distinction between *project* outputs as specified in the PDD and *contractable* outputs as specified in the Scope of Services and Basis for Payment, because these may not be the same thing, at least as expressed in existing project documents. This issue is examined further in section 2.5.1.

2.2.6 Sector and target group focus

Each of the projects reviewed has a defined sector and target group focus. Issues that arise in terms of establishing realistic expectations of the project include:-

- ④ The broader the sectoral focus of a project the more dispersed management and material resources will be. In seeking to deliver measurable development outcomes at the objective level, there is thus a trade-off to be considered between the depth and the spread of training activities supported by the project.
- ④ The target groups for training may include government, private sector, NGO or other clients. While there will

undoubtedly be training needs within all these groups, it does not necessarily follow that an Australian Government funded aid project is the appropriate vehicle to meet all these needs or that such needs can be met through a single project or project activity. There remains also the underlying issue of focusing resources. Each of these broad client groups will not only have different training needs but are also likely to place different demands on how training is designed and managed. Trying to meet a broad range of diverse needs may result in none of the groups receiving a relevant and robust program of training.

- ⊗ While the focus of this report is on the design and delivery of STT, it is notable that one of the current project designs also incorporates the management of longer-term award training funded through the Australian Development Scholarship (ADS) scheme. This is a different target group and a different type of training to that provided through customised short courses and therefore has significant implications for project resource requirements.
- ⊗ An over-arching objective of the aid program is to promote gender equity. This is addressed by most training projects by specifying that, on balance, the project should provide training to an equal number of men and women. It should be noted that each individual training activity need not have an equal number of men and women attending. To achieve this would require targeting training only on occupations where there is an equal representation of men and women in the workforce. The point is that women should be actively encouraged to attend training provided to organisations/occupational groups where they have historically been poorly represented and perhaps had unequal access, and that a suitable proportion of training activities should be focused on occupational groups where women are well represented. While the second of these two strategies could be criticised for re-inforcing gender based occupational stereotypes, the touchstone of reality requires such pragmatic choices to be made if gender targets are to be set and achieved.

2.2.7 Institutional strengthening

Current project designs all incorporate mention of institutional strengthening or capacity building objectives. A number of issues arise, namely:-

- ④ Institutional strengthening objectives cannot be realistically met by one-off customised training activities, even if the expected competencies/skills are successfully developed among individual participants. The development of institutional capacity normally requires a range of activities to be undertaken, of which training is likely to be but one.
- ④ Institutional strengthening is by nature a longer-term endeavour, requires strong and sustained local commitment and is difficult to measure.
- ④ Different projects specify different types of institutional strengthening objectives. For example, some give emphasis to building up local capacity to design and deliver training within the agencies responsible for training management. Others focus more on trying to build capacity within implementing agencies to deal with the ‘technical’ issues that training activities are addressed towards, for example the capacity of the Ministry of Health to regulate private nursing homes. These two types of institutional strengthening objectives are by no means exclusive. Both can be a feature of the same project design. However, it is important to recognise that they do have a different focus and have significantly different implications with regard to the type of training activities and input requirements provided through the project.

2.3 Training Design and Delivery

2.3.1 Application and approval procedures

To better meet local training needs it is important that training projects are designed to be responsive to the *demand* for training rather than simply providing a *supply* mechanism to deliver pre-packaged courses in pre-determined areas of study. To support this approach it is important that appropriate training application and approval procedures are established. This requires that, *inter alia*:-

- ④ The responsibility for identifying training requirements and preparing initial applications should ideally be firmly vested with the requesting organisation. This requires that adequate and timely information is provided by project managers, namely the AMC or the identified local coordinating agency, to all potential applicants. This awareness and/or advertising campaign must be conducted on an ongoing basis (probably an annual cycle) and should clearly specify (i) the overall

objectives of the project, (ii) the scope of individual training activities that can be supported, (iii) the selection criteria and procedures that will be used, (iv) the application format, and (v) an outline of the expected responsibilities of each of the main stakeholders in training design and delivery and participant selection.

- Building up local capacity to identify and document training proposals is a feature of some of the project designs. This is an important capacity building objective which should be adequately resourced. If the quality of initial training applications is poor, the task of appraisal and then further training design is made all the more difficult.
- Where local capacity to identify and document training requests is particularly weak, there may be a need, at least in the early phases of the project, for the AMC to be more active in ‘drumming up business’ through getting better acquainted with the organisations targeted by the project and helping prospective applicants prepare their training requests. This must be handled in a sensitive manner by the AMC, as there may be a fine balance between providing appropriate support and unduly influencing the scope of the training program. Local sensitivities to such issues will vary among countries, however in all cases the development principle of local ownership and commitment should remain a priority concern.
- The responsibility for approving the scope of the forward training program (usually annual) must rest squarely with the PCC. The AMC’s role should be limited to contributing technical and management advice to other PCC members. This role may include delegated responsibility for coordinating preparation of the annual training program.

2.3.2 Scope of training activities

There is considerable variation in the proposed scope of training activities to be supported through different country projects. This ranges from those which focus on the design and delivery of a range of short-course ‘face to face’ training activities, with skills transfer as the primary objective, to projects which place greater emphasis on capacity building within targeted institutions through supporting a package of interventions over an extended period of time. The main implications of these different approaches are summarised below:-

- ④ Single short-courses which focus on developing specific technical skills are directed primarily at the needs of individuals, whereas the ‘issues’ approach requires an organisational focus.
- ④ The short-course ‘slots’ approach allows a greater spread of training activities to be designed and delivered to a wider group of clients, whereas the ‘issues’ approach requires a greater concentration of resources to be applied to a narrower client group or training need area.
- ④ The package of interventions required to realistically address institutional capacity building objectives, for example detailed TNA, workshops, study tours, policy development, face to face training and supporting TA, will generally be more expensive than a one-off course. This again has implications regarding the desired balance between ‘depth’ and ‘spread’ of training activities to be delivered within established budget limitations.
- ④ Addressing capacity constraints within organisations, such as through the development and implementation of larger ‘sub-projects’, is likely to be more complex than running a series of specific short-courses focused on the needs of individuals. This difference in approach has implications for the level of management resources applied to the project. It should be noted that as complexity increases so does risk.
- ④ The scope of monitoring and evaluation activities that can be usefully and cost-effectively undertaken will vary depending on the nature and scope of the training activities provided. Thus for a well resourced set of capacity building activities focused on a targeted organisation, it may be desirable to undertake an ex-post evaluation of impact in the workplace, whereas for a 2 week short-course conducted for a range of individuals from different organisations it probably would not. This issue is further examined in Chapters 3, 4 and 5.

2.3.3 Training needs analysis

The approach and emphasis given to conducting TNA varies among different project designs. In some cases, quite detailed TNA has already been carried out and included in the PDD, while in others the analysis of specific training needs is to be addressed once project implementation starts. The main issues arising are:-

- ④ If the PDD is proposing a program approach to implementation, detailed TNA at the design stage is not necessarily required. The design should rather focus on establishing clear program objectives, training activity and participant selection criteria, a coordination and management framework, and appropriate monitoring and evaluation mechanisms which meet the management information and quality assurance needs of all stakeholders. Given the potential time lag between the work of the design team and the start of project implementation, there are, in fact, disadvantages to conducting detailed TNA at the design stage.
- ④ Needs for training may be viewed from two perspectives. Firstly there are the needs of organisations - what are the issues to be addressed by training, what complementary non-training interventions may also be required, who is to be trained and what categories of the labour force. Secondly there are individual needs - from what training content participants would benefit, what knowledge and skills do they already have and what specific learning outcomes are desired.
- ④ It is useful to see TNA as being required in two distinct phases. The first phase involves the preparation of a portfolio of identified needs and potential training interventions. This first phase is broad in scope and is generally the responsibility of the local agencies that are applying for support under the project. Once a training activity is approved for inclusion in the forward program by the PCC, a second more detailed phase of TNA is required which directly informs the training design and choice of delivery methods. This may be carried out with or without the assistance of the AMC or subcontracted technical assistance, depending on need and the resources available.
- ④ The level of detail required in the second phase of TNA will depend on the scope and objectives of the training activity being proposed and the level of resources available to undertake the analysis. Some projects make specific allowance for discrete Australian funded TNA inputs prior to course design and delivery, while others allow for only 2 to 5 days pre-course preparation in-country by the selected training sub-contractor. Ideally, the resources applied should not merely be those of the AMC but also include counterpart contributions. While TNA requirements will vary in different circumstances,

appropriate and adequate TNA must be undertaken if the desired outcomes, either improved individual skills or organisational performance, are to be met.

- ④ In some countries and training situations the second phase of TNA must be conducted as part of the first day or two of a training activity. This is because no individual TNA may have yet been carried out and because scheduled participants may not attend, being replaced by others with different backgrounds, needs and learning capabilities to those originally expected.
- ④ The respective roles and responsibilities of the requesting organisation(s), the AMC and the sub-contracted training deliverer in conducting TNA require clear definition. This must then be reflected in management and coordination arrangements and in the allocation of time and resources to undertake TNA work.

2.3.4 Training location

Training activities may be designed to take place in country, in Australia or in a third country location. When conducted in country, there is also the choice between a capital city, provincial centres or more rural locations. The choice of the most appropriate location might be based on an assessment of the following main points:-

- ④ Source of training expertise. This will influence the options available. If expertise is available locally, in-Australia training should not be an option.
- ④ Target group. In-country training may help to promote equity objectives by making training more accessible for female and provincial/rural participants. Overseas training places will inevitably tend to be ‘captured’ by those who are already more privileged and influential. Using a provincial location, rather than a capital city, will also support the inclusion of a broader client group.
- ④ Type of training activity. Some training activities will be more suited to one location or another. If, for example, the aim is to broaden the work experience of participants or to let them see new technology in action (such as new wastewater management systems), in-Australia work attachments may be the preferred option. If, however, the aim is to develop and

build on local systems and skills among a broad client group, in-country training is likely to be more appropriate.

- ④ Number of participants. Where large numbers of participants are to be targeted by the training (e.g. secondary school teachers or primary health care staff), in-country training is likely to be most appropriate. In-Australia training is only likely to be appropriate for small groups requiring very specialised training.
- ④ Language skills. In those countries where English is not widely spoken, in-country training is likely to be the most practical and effective option, using interpreters and translators as appropriate.
- ④ Cost. An assessment needs to be made of the respective costs of choosing between different potential locations. Locating the training venue(s) close to where participants live and work is likely to be the most cost-effective option, except for when the training group is small and in dispersed locations. Then it might be cheaper to bring the trainees to the trainer.
- ④ Local funding. Where local funding contributions are required to conduct in-country training, and these funds are then not forthcoming, in-Australia training may be given preference. This happens by default, however, not by design.

Existing STT projects tend to place most emphasis on supporting in-country training activities. However the project design documents do not generally provide clear explanation as to how the balance between in-country and in-Australia activities is to be managed on an ongoing basis. More analysis is required.

2.3.5 Training of trainers

A number of current STT and capacity building projects include support for the training of trainers (ToT). While the scope and purpose of these ToT activities varies between projects, two main approaches can be identified, namely (i) the individual, focused on developing the training skills of individuals; and (ii) the organisational, concerned with developing training *management* capacity within local organisations. There is not a dichotomy between these two approaches, but rather a continuum of options, depending on the degree to which organisational capacity building and sustainability objectives are prioritised within the overall project or program.

Where training management capacity is to be supported, the target organisation(s) may be either a central agency with training coordination responsibilities (such as the Training Unit of the Public Service Commission), or line agencies which are participating in specific project funded training activities (such as the training division within the Ministry of Health), or both. However, current STT project designs generally emphasise the individual focus within line agencies, and only support broader training management capacity building activities within the central agency (where this exists).

In targeting individuals to be included in ToT activities, either those with designated training functions, technical specialists or general supervisors/managers might be considered. It should certainly not be assumed that only designated trainers should be targeted as their role might be concerned more with managing the training program, rather than delivering individual training activities in the workplace. The project design should therefore provide an analysis, and demonstrate an understanding, of who is likely to be targeted if ToT activities are being proposed.

It is not possible to prescribe a preferred approach, as local circumstances will vary greatly from country to country and will require context specific interventions. It is nevertheless important to recognise the limitations of the individual approach in terms of its contribution to capacity building, as the training skills of individual trainers may not be the main constraint to improved training management or delivery. There may be other institutional, management, staffing, administrative or funding constraints, which, if not addressed, might seriously undermine the value of individually focused ToT activities.

Developing the capacity of a local training unit or agency might therefore require, for example, an organisational review, policy development, support for improving planning and budgeting capacity, management systems development, as well as support for specific ToT activities. While such a package of interventions might be necessary to support sustainability objectives, it should again be recognised that this approach has resource and risk implications. As noted elsewhere in this report, developing local capacity is more difficult than delivering individual short courses, must be adequately resourced and is a longer term endeavour which may need to be supported for some years. Within the context of a limited overall project budget and short project life (3 to 5 years), there may also

be an element of trade off between building local training management capacity and the quantity of short courses that can be delivered, at least in the earlier years of the project.

2.3.6 Participant selection

Reviews of previous training projects indicate that participant selection procedures play an important part in influencing training relevance and outcomes. If inappropriate people are selected to attend training, the quality of the training program itself is affected and usually diminished. Project designs should therefore address the following issues:-

- ⊗ Responsibility for, and timing of, trainee selection should be clearly specified well in advance of STT courses.
- ⊗ Proposed participant selection criteria/guidelines should be provided including identification of who is to apply these criteria.
- ⊗ Procedures should be transparent, allow for outside scrutiny and be reported through the PCC.

This does not mean, however, that the PDD should provide definitive or detailed instructions on each of the above. What is required is a clear framework, guidelines for the allocation of responsibilities, and, if appropriate, specification of lines of reporting, within which the PCC can then develop and approve specific operational procedures.

2.3.7 Individual motivation and organisational commitment

Ultimately, the success of any training activity will depend on the individual motivation of participants and the commitment of the organisation(s) from which they come. Some ideas as to how these requirements can be promoted in the design of training activities are suggested below:-

- ⊗ Training should bear a high degree of relevance to the work that participants currently do, or to work that it is planned they will be doing within six to twelve months of the training activity. Adequate and appropriate TNA is therefore required.
- ⊗ Financial incentives may be required in those countries where salary levels are extremely low and where participants may be doing second or third jobs which they cannot do when attending training.

- ④ Participant selection procedures should be merit based, subject to recognised policies to assist disadvantaged persons or groups and the need to include policy makers in order to build local support at senior management levels within counterpart organisations.
- ④ Training methods should incorporate appropriate action learning approaches and not simply be lecture based. Allowance must nevertheless be made for different learning styles based on cultural mores.
- ④ Where capacity building is a training objective, an action plan approach should be considered to help focus participants and the organisation on a clear and relevant training outcome.
- ④ Wherever appropriate, participant performance should be formally assessed at the end of training and a certificate or award presented which either recognises active participation, or more desirably, recognises knowledge acquisition or attainment of agreed competency standards.
- ④ Overseas work attachments and study tours can be used as an incentive to motivate trainees who perform well during an initial training activity.
- ④ Memoranda of Agreement between the target agency and the PCC can be useful in formalising local agency commitment to supporting both the implementation of a training activity and post-training work-based follow-up.
- ④ A mentoring approach may be used whereby a senior and respected member of staff within the recipient organisation accepts responsibility for supervising the development and implementation of issue-based action plans.
- ④ Organisational commitment should be demonstrated by the local agency through the allocation of management and other resources to the design and implementation of the training activity and for the reinforcement, where appropriate, of outcomes on return to the workplace.

2.4 Project coordination and management

2.4.1 Project coordination

The successful implementation of STT projects is dependent on the contribution of a number of stakeholders, none of whom have complete control over the project environment. The project design

should therefore provide clear guidance as to how the stakeholders will coordinate their activities and inputs, including specification of expected decision making responsibilities and authority.

Almost all current STT project designs vest the responsibility for this coordination function in a Project Coordinating Committee (PCC). Issues relating to the function and membership of the PCC, and matters of coordination in general, include:-

- ④ A distinction needs to be made between the technical and policy issues associated with project implementation. The PCC should be primarily concerned with policy matters and strategic planning decisions (e.g. the sectoral focus, training activity and participant selection criteria, screening and approval of forward training plans and budget allocations). Technical issues, on the other hand, should be the responsibility of those tasked with managing training delivery (e.g. conducting TNA, designing appropriate training activities, identifying and contracting training providers, monitoring progress and establishing quality assurance procedures).
- ④ As well as being a policy and strategic planning body, the PCC must also take responsibility for solving project implementation problems/bottlenecks that are associated with inter-agency coordination.
- ④ Coordination with other donors is an important function of the PCC. This is required to help ensure that AusAID funded activities are complementary to other donor-funded projects and programs and do not duplicate.
- ④ The PDD should include a stakeholder analysis which results in a clear profile of the main agencies involved and an assessment of their capacity to contribute to project implementation.
- ④ The hierarchy of organisational layers within a local government bureaucracy and the nature of both vertical and horizontal linkages must be understood if a realistic decision making and implementation process is to be prepared and profiled, particularly in the case of projects with capacity building objectives. In this regard it may be useful to distinguish between a Counterpart Organisation (the local agency with the authority to sign an MoU with AusAID governing the whole project and which provides one central point of contact), a Gateway Organisation (usually a Ministry or Department) and the Target Organisation (a division or

unit within the Gateway Organisation which is the primary partner in detailed training design and delivery). These structures should be presented as part of the project's organisation chart.

- ⊗ Recommended decision making steps and responsibilities need to be clearly articulated in the PDD. This is best summarised in a schematic or tabular format rather than just being written as narrative.
- ⊗ Which agencies should be members of the PCC needs to be negotiated and agreed on case by case basis, however it would seem to be generally desirable for the AMC to be included as a voting member given their crucial role in delivering the approved program of training. This is not always currently the case.
- ⊗ Individual members of the PCC should have the authority to make project coordination decisions on behalf of the agencies they represent. This does not imply that the agency head would always be the preferred PCC member, as a senior officer with more direct professional responsibility for seeing the project successfully implemented might be preferred. Getting the right people on the PCC is essential if it is to effectively undertake its assigned role.
- ⊗ The AMC should act as secretariat to the PCC. The quality and timeliness of information provided to the PCC will be a major determinant of its ability to function effectively.
- ⊗ It is desirable for the PCC to be chaired by the lead counterpart agency.
- ⊗ If the PCC is to do its job it must have appropriate ToR, the right people and the resources and incentives to allow it to function effectively. In addition to the basic resources to allow the PCC to meet and spend adequate time together to plan and review the program of training activities (generally on a six-monthly basis), consideration should also be given to providing PCC members with the opportunity to learn more about the project and what it is achieving on the ground. This could be supported by providing funds for local PCC members to visit in-country training activities and, if appropriate, to accompany an in-Australia training group.

2.4.2 Project management

Project management and project coordination are related activities but can also be distinguished by their respective focus on technical and policy issues. Management deals primarily with *how* the project is to be implemented, while coordination concerns itself more with *what* is to be implemented and *why*.

Project management issues which arise from our review of STT projects are:-

- ④ A common feature of all projects is the use by AusAID of an AMC to manage the implementation of Australian funded activities. The AMC is not, however, contracted to supply the training itself, but rather to manage the sub-contracting of work to others. The rationale for this approach is based on a desire to engage professional managers, to promote a competitive market for training delivery and thereby make quality and efficiency gains. Whether or not these gains will eventuate has yet to be determined and will require the collection and analysis of appropriate performance information as implementation of STT projects proceed.
- ④ The use of an AMC, particularly in the context of program implementation and output contracting, requires a significant shift in the management roles and responsibilities of AusAID staff. A new relationship is required with the AMC which allows the contracted managers to manage and does not continue to focus AusAID's attention on the detail of project activities and inputs.
- ④ While the PCC should have clear responsibility for approving the annual program, the AMC must be given the flexibility to accommodate changing circumstances and needs while maintaining overall program integrity. Variations to the planned program (within agreed parameters and following agreement with the counterpart agency and client groups) can then be presented, reviewed and discussed at PCC meetings.
- ④ While AusAID vests responsibility for managing its resources in an AMC, there are other local agencies that must also play a role in managing project implementation. The nature of this role will vary depending on local circumstances and, in particular, on the degree to which the project is expected to contribute to capacity building objectives within local organisations. Where such capacity building is intended, local

management responsibility and commitment must be given greater emphasis.

- ④ Where local involvement in project management is to be promoted, there may be scope for establishing a Project Management Team (PMT) which would meet on a more frequent basis than the PCC, perhaps on a monthly basis, to discuss and resolve technical project implementation issues. Such a team could help reduce the need for the PCC to deal with unnecessary management detail while also promoting a joint decision making approach to project and activity management. For this to work, however, the AMC must have an in-country representative, preferably full-time.
- ④ Some project designs require the AMC to act largely as an administrator of training delivery once all the decisions about the type and scope of training have been made. Others require the AMC to be more engaged in program design and higher level management decisions. Either approach may be appropriate depending on the scope of project objectives, the type of training to be provided and the capacity of local agencies to undertake the required management and technical tasks.
- ④ Managing STT and capacity building types of projects will invariably be a complex task, at least if the desired quality of outcomes are to be achieved. A realistic assessment of the required management and administrative resources should therefore be included in the project design. Such specification should not necessarily preclude, however, the proposal of alternative management arrangements and resources by a company bidding for the project.
- ④ There is no agreed set of key indicators for monitoring or evaluating STT projects. A broad range of different indicators and MOVs are suggested, some of which are not practical or measurable, for example the percentage of learning outcomes being met. Given that STT activities are not generally formally assessed or examined, it is not possible to measure learning outcomes in this way.
- ④ Logframes do not generally provide clear or consistent guidance for the selection of indicators.

- ⊗ Responsibilities for monitoring and evaluation vary, with the AMC, AusAID and independent monitors/evaluators playing different roles in different projects.
- ⊗ The data recording and information reporting requirements that AusAID places on the AMC sometimes appear daunting, at least in the way that they are described in project documents. It is important to recognise that there is always a trade off between management time spent on doing, and time spent on recording and reporting. Minimum Information Systems which provide useful management information should therefore be the order of the day (see Chapter 3).

2.4.3 AusAID and counterpart funding

The scope and nature of training activities that are implemented through STT projects will be significantly influenced by the financial and other resources made available by AusAID and counterpart agencies.

AusAID's financial contributions to a specific project are determined mainly through the annual High Level Consultations (HLCs) and within the context of a medium term program of country funding. Once agreed, AusAID's contributions are generally available and delivered as planned. This is not to suggest, however, that AusAID's funding mechanisms are perfect. Implementation constraints can occur due to funding bottlenecks arising within the AusAID budgeting, contract management and payment systems. However these rarely impact significantly on project implementation.

A primary issue of concern is that of counterpart financial contributions. These are seen to be a desirable feature of project design in that they demonstrate local commitment to the training and should help foster local ownership of outcomes. They are also a feature of a joint management approach to delivering the aid program.

However the reality is that adequate and timely counterpart funds are often not available as planned. This may result in disruption to planned activities or in AusAID funds being applied to cover counterpart costs. The whole program of activities may also become skewed towards in-Australia training because these costs are usually covered fully by AusAID.

To help avoid counterpart funding becoming an implementation constraint, the following issues need to be addressed in project design:-

- ④ Analysis of how local planning and budgeting systems operate, including the lead time required to have a project enter the budget cycle.
- ④ A realistic assessment of local resource availability and constraints. These resources include funding, availability of appropriate personnel, the commitment of both policymaking staff and operational officers, and the status assigned to STT. These considerations should be scrutinised again in any inception or situation report and appropriate adjustments made to implementation plans.
- ④ Identification of appropriate mechanisms that might facilitate local funding.
- ④ Scheduling local training later in the program to account for the time it may take the counterpart agency to apply for and secure the required resources.
- ④ Being prepared to fully fund all in-country training costs for some activities or to fund them in the initial years of the project. In the context of the current economic crisis in SE Asia, this may be an approach AusAID will be forced to adopt if it wishes to see project implementation proceed.

2.4.4 Memorandum of Understanding

Based on the scope of the project provided for in the PDD, a Memorandum of Understanding is required to formalise the respective commitments and contributions of AusAID and the Government of the recipient country. While the MoU is usually prepared separately from the PDD (different people may be involved and the timing of document production is also different) it is important that the two documents are linked and consistent. This link must also apply to the Scope of Services.

2.4.5 Quality Assurance

An important responsibility of project management is to establish quality assurance procedures and systems which help ensure that clients (in this case both AusAID and the targeted local agencies) receive value for money and the quality of outcomes they expect.

Quality assurance systems are about analysing how and why things are done, documenting how things are done and recording the results to show it was done. The AMC will need to be primarily responsible for this work, however it needs to be undertaken within the framework of AusAID's and the PCC's identified management information needs.

What these information needs might be is discussed further in Chapters 3, 4 and 5.

2.5 Contracting issues

2.5.1 Output contracts

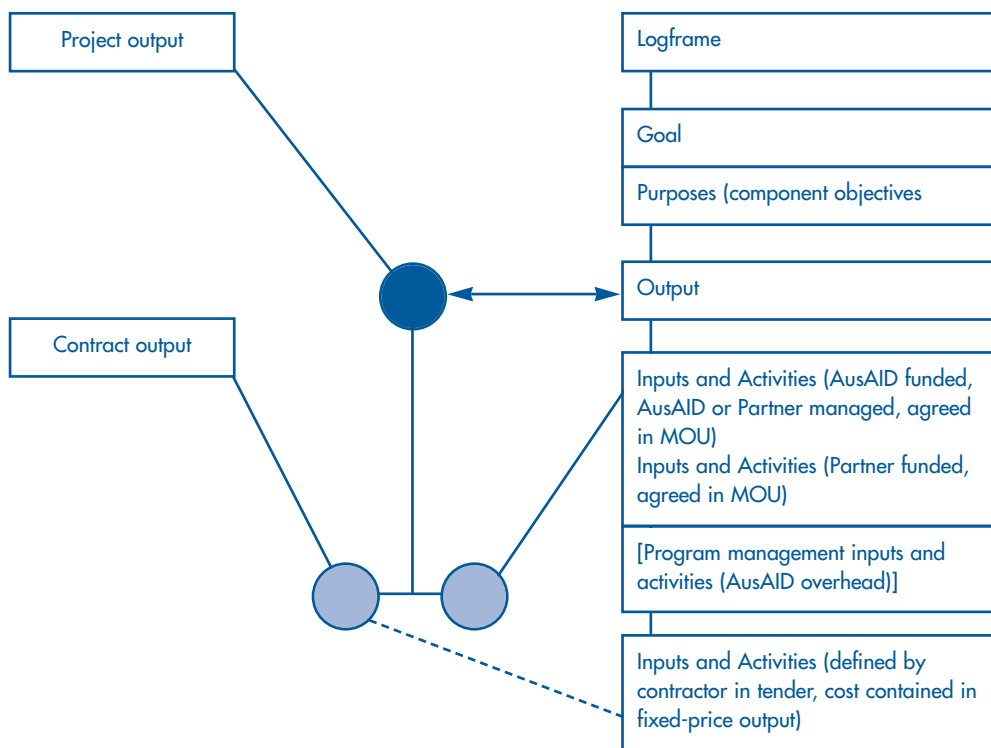
AusAID's move towards output contracting has implications for the way that projects are designed and documented. Issues that need to be considered include:-

- ⊗ It is not necessary to see a complete dichotomy between input and output contracts, or to assume that a pure output contract is the best way to go with STT projects. Mixed contracts incorporating a program management fee, an activity management fee and a reimbursable cost component may be preferable. Section 2.5.3 below discusses this further.
- ⊗ A distinction needs to be made between *project* outputs and *contract* outputs. While in some circumstances these may be one and the same thing, if the AMC does not have direct control over the delivery of the project output, alternative contract outputs need to be specified in the scope of services for contracting purposes. The relationship between these two types of output is shown in Figure 1 which has been prepared by PSSI's Operational Policy Unit.
- ⊗ In contract law, AusAID is the AMC's client. However in the context of the development program, the service AusAID wants to provide is a 'deliverable' of tangible (ideally measurable) benefit to the counterpart agency. In PSSI's draft Guidelines for Project Preparation, project designers are therefore advised to look at the output through the counterparts eyes; for example, "When this output has been delivered, the counterpart agency will have a" or "be able to....".
- ⊗ The sub-project outputs of current STT projects are variously described in terms of either trained people, or simply as the

identification and implementation of training sub-projects. Where capacity building objectives are emphasised, project outputs may also include such things as organisation action plans. These are the ‘deliverables’ that the project aims to provide to the targeted agency. The question must then be asked whether or not the AMC has direct control over the delivery of these outputs. In general, it can be noted that the AMC should have control over training design and delivery (through its control over sub-contractors), but will not control the capacity building outputs such as the preparation and implementation of action plans.

- It is useful to distinguish between two types of contractable output associated with STT projects - those which contribute to the effective management of the overall project, and those associated with sub-project design and delivery. Contractable outputs associated with overall management may include such things as production of an inception report, a project management handbook, draft annual training plans, six-monthly reviews and plan updates, establishment and maintenance of a management information database, and the submission of a project completion report. Sub-project contractable outputs, on the other hand, should focus on the AMC’s responsibility for managing the design and delivery of the approved training activities to the satisfaction of the two main clients (the target agency and AusAID). The AMC cannot, however, be held directly responsible for either individual learning outcomes or for the use of new skills back in the workplace. The AMC should, nevertheless, be responsible for reporting on these issues to AusAID.
- If the different types of training activity that are to be provided can be adequately and consistently defined (e.g. one-off short course, a combination activity, stand alone-study tour/work placement or TA), and a realistic assessment then made of the management effort and costs associated with each type of activity, it is then possible to prescribe and pay a fixed set of activity management fees on the satisfactory delivery of each training activity. This is an approach used on some of the STT projects reviewed. Time will tell whether or not these fee rates are realistic.

Figure 1 Relationship between contract and project design - outputs contract



2.5.2 Scope of services

The Scope of Services (SoS), together with the Basis of Payment, is the core contracting document between AusAID and the AMC. The SoS should unambiguously define the tasks and responsibilities of the AMC and, where appropriate, the specific outputs to be delivered. The main point to be reiterated about the scope of services is that they must derive from and be consistent with the PDD, and should therefore be prepared as an integral part of the process of documenting the project, rather than as a subsequent and separate exercise.

Current draft guidelines for the preparation of scope of services provide a format which highlights the need to define the standard of outputs in terms of quantity, quality, time and the means of verification that will be used. While this is all desirable information, the practicality of specifying all this information in the format provided may be problematic for STT and capacity building projects, particularly those which are following a program approach. There therefore needs to be flexibility in the format used for preparing SoS.

2.5.3 Basis of payment

The basis of payment is a core contracting document and tool. It should specify the contractable outputs and their means of verification (from the scope of services), the criteria to be used for certification of delivery, and the amount to be paid on delivery.

The STT projects reviewed display a variety of approaches to the basis of payment. The main issues arising are:-

- ④ Whether or not to have pure output or mixed basis of payment contracts. While either may be more appropriate in different circumstances, preference seems to be given to a mixed approach which distinguishes between the costs of (i) overall project management, (ii) activity management, (iii) training delivery (the charges of sub-contracted training providers), and (iv) other direct reimbursable costs.
- ④ Where all contract payments are linked principally to the delivery of training activities, it is possible that the AMC may either be pressured into delivering more training than can be effectively designed or absorbed, or face potentially crippling cash flow shortages if the volume of training delivered is significantly less than planned during any one period. Given that it is not really the role of the AMC to go out and drum up business in the market place, there is therefore a strong argument for providing a base management fee to cover the AMC's fixed management overheads.
- ④ Where contract payments are linked to the formal acceptance of reports, there should be a requirement that this acceptance (or rejection) be communicated to the AMC within a defined time period from the submission of the report so that timely payments can be made. The sometimes lengthy process of report consideration and formal acceptance within AusAID is of real concern to AMCs.
- ④ When contract payments are linked to reporting on the delivery of outputs, it is important that AusAID does not then require the AMC to also provide detailed reporting on activities and inputs. This defeats the main purpose of output contracting which should be to (i) focus on tangible results, (ii) leave the management of project activities and inputs to the professional managers, and (iii) reduce the volume of contract management paperwork that the desk and post officers have to deal with.

- An issue of concern to contractors who are bidding for and managing the STT projects is that of cash flow and financial risk. The requirement for AMC's to cover all project start-up costs, implicitly to forward finance the aid program, is seen by some AMC's as unfair in that it may exclude smaller players from participating and transfers all the financial risk on to contractors. There is a strong view that risk should be shared more equally between AusAID and the AMC.

2.5.4 Other contract issues

Our review of current STT projects has also raised some other contract related issues, namely:-

- In the context of using an AMC to manage the sub-contracting of training design and delivery, it is unclear what limits should be placed on the scope and scale of these 'sub-projects'. While a one-off short course of 2 weeks duration may cost less than \$50,000, a set of capacity building activities to be delivered over a two year period could conceivably cost many hundreds of thousands. AusAID needs to establish a position on this issue which balances the development needs of the project or program with Commonwealth and AusAID procurement policy.
- There is generally a requirement placed on the AMC to follow Commonwealth Procurement Guidelines when purchasing services from sub-contractors. While on the face of it this may seem reasonable, there appear to be some practical problems being faced by AMC's in meeting this requirement. Concerns raised by AMC's include the need to clarify whether or not AusAID has its own separate guidelines and under what circumstances preferred suppliers (restricted tenders) can be used.
- Where training providers are sourced wholly or partly from within the country, and this may be the desired case where a capacity building element is involved, it may not be possible for the AMC to follow AusAID Procurement Guidelines. Flexibility is therefore required.
- STT project contracts generally place restrictions on who the AMC can use as subcontractors. In particular they preclude the use of trainers sourced from within the AMC's own organisation, except in the case of certain defined circumstances. This exclusion can also be taken further,

however, to include any organisation or group with present business interests. The main issues of concern are to have a clear and consistent policy on this matter and not to unduly restrict the pool of available expertise, while maintaining the focus of the AMC on managing training delivery and not delivering the training itself.

- It was reported that an AMC had been required in a contract to use specified firms/personnel to provide training services. This can be problematic if the named firm can no longer provide the required service, for whatever reason.
- AusAID's requirement to specify the age and gender of Australian team members is thought by some AMCs to place AusAID in breach of EEO guidelines.
- AusAID's current tendering and selection procedures are considered by some AMC's to give undue emphasis to the price component. The relatively high weight (30%) given to price is seen to have the potential to compromise the delivery of quality outputs and outcomes.

2.6 Sustainability

Sustainability of benefits is an essential aim of development interventions. However, its exact meaning in the context of STT and capacity building projects, and the means by which it is then achieved, are open to different interpretations. The main issues arising in this regard are:-

- It is not always clear what it is that the project aims to help sustain - is it training activities themselves or the use of the outcome of training activities such as action plans? The emphasis given should depend largely on the scope and focus of project objectives and outputs.
- When planned for, sustainability of training management functions within counterpart agencies is generally addressed by the provision of specific technical assistance for systems and skills development.
- It is a requirement of most projects that counterpart trainers from the target organisation be identified and directly involved in training design and delivery. This approach supports the design of training which incorporates local content and helps demonstrate local commitment to the activity. It does not necessarily follow, however, that a criterion for judging the

sustainability of a training activity should be the capacity of the counterpart to continue to deliver the same training in the future. This may be appropriate in some cases, but in others will not.

3 Issues in Monitoring and Evaluating STT

3.1 Introduction

The chapter is divided into two main sections. The first provides an overview of issues relating to data collection and storage, and guidelines to assist development of indicators that will enable better management of STT and capacity building projects. Options relating to the collection of minimum training activity data are included. The second section provides an overview of issues to be considered in designing instruments for evaluating learning outcomes and looks at the kind of data that can be usefully obtained from the evaluation of different training activities. This chapter deals more with learning outcomes than project outcomes.

The impact of STT and capacity building projects will be difficult to measure in an objectively verifiable way. While it is comparatively easy to record such details as the number and gender of people attending training activities, in most cases learning outcomes, in terms of the extent to which training needs have been effectively met at the end of an activity, will be much more difficult to assess in *quantifiable* terms. Appropriate instruments for collecting useful and reliable *qualitative* information will therefore need to be designed and used.

3.2 Minimum Information

It is important that any monitoring and evaluation system be designed with the concepts of minimum information, ‘optimal ignorance’ and ‘appropriate imprecision’ in mind. More information is not necessarily better information.

A recent article on information overload by Hugh Mackay helps clarify the point:-

“There’s a myth underlying our greed for information, and it is the myth that all our problems would be solved if only we had more data. Once we believe that, it is a tiny step to the

conviction that all information is good information and that sending and receiving of information is bound to be a worthwhile activity.

The problem with all this is that if we immerse ourselves in a more or less continuous flow of mediated information, our capacity to sift, interpret and understand it might be diminished. We might find ourselves drawn into the information process in a way that so engrosses us that we lose touch with the significance of what we are doing. We might cease to notice that a lot of the information we are receiving is not only irrelevant to us, but it is a distraction from other things - like ... the need to make a decision.”

In the context of STT projects the challenge is therefore to collect, record, analyse and report only that information which will help us make decisions to support project implementation and to be accountable for the resources used.

3.3 Data collection and storage

3.3.1 Issues

Data and information relating to training that is collected by the project should (i) be useful to project managers, (ii) support longer term assessment of project impact, (iii) fulfil legal requirements, and (iv) assist evaluation activities.

The main issues that arise from our review of project documents and meetings with AusAID and AMC personnel are:-

- ④ Some project documents specify that data about participants is to be entered into the Student Information Management System (SIMS). AMS staff have designed a Customised Training Module as an adjunct to SIMS which will accept basic data from STT and capacity building activities such as: participant’s name, date of birth, sex, course provider, study field, and course name, dates and cost. While the format to record this data is modelled on long term training awards, the program is designed so that entries can be summarised into a composite list of participants for any one STT activity.
- ④ The basic data to be entered into SIMS could be analysed in total for a STT and capacity building project to provide key performance indicators of a quantitative kind. This information could be used variously, for example, to indicate

project outputs, to assist in country strategy planning, to respond to parliamentary questions, and to supply information to international bodies. A more specific use would be to track an individual participant who might later receive an ADS award. This would be an unusual case.

- ⊗ Among points discussed with AMS staff were: difficulties that might occur in assigning real costs (eg. including AMC and other “overhead” costs) to specific activities and the fact that this financial information is available elsewhere; the desirability of recording nationality; and the possibility of participants’ names being grouped alphabetically by gender. AMS is planning to supply formatted disks to AMCs to allow sub-contractors providing training to submit participant details. While no STT project required to establish an MIS that will be subsequently transferred to AusAID has begun, the relationship between the project training data base element and SIMS will require discussion of such items as: consistency or compatibility of data elements and their descriptors, formats, and timelines including timing of project and budget years.
- ⊗ Another approach is not to enter data of participants in short skill transfer courses into SIMS at all, or to enter limited categories based on an agreed index of course objectives, minimum length and cost. (Exceptions could be admitted, for instance, if the STT activity is a successive level of training, such as intermediate or advanced which may indicate the participants are competent and highly motivated, or if the STT activity leads to an externally recognised level of attainment.)
- ⊗ Projects which emphasise capacity building in relation to targeted institutions, sub-sectors or defined client groups are likely to include more intensive forms of STT. These might include short courses, work attachments, and study tours. Commonly an in-depth or issue-based approach will result in outcomes that may be susceptible to objective assessment. Examples are (i) the action plan approach that aims at a product directed to meeting agreed needs of the employing organisation and the participants, (ii) IELTS levels, or (iii) competency based skill training.
- ⊗ A more complex issue is the extent to which qualitative data can and should be formally recorded and at what cost. Indicators from end-of-course evaluations dealing with factors like, satisfaction, relevance, and usefulness of training, could be

analysed and reported in summary by the AMC. Some progressive assessment of this information in a cumulative time series could be done, for example, for biannual PCC meetings, and also as an element in mid term reviews, project completion reports, and possibly ex-post evaluations. Any comparison of findings from different aggregations of STT activity or between projects would depend on a relatively standardised evaluation instrument and a common response scale, among other factors of a contextual nature. It is a reasonable expectation for AusAID to have an overall view of how STT is perceived by participants and by organisations.

3.3.2 Guidelines

The following guidelines and options are offered as a basis for further discussion to help develop a framework for training data collection and storage.

- ④ For each STT or capacity building project the AMC should be required to establish an appropriate project MIS that can adequately deal with the collection, storage and archiving of training and assessment data during project implementation. This requirement should generally be met within the first year or two of the project. An outline of core training and assessment data is given further below. The extent to which the project MIS is designed to interface with AusAID or other systems is considered an element of project design to be dealt with specifically in the contract after due consultation within AusAID.
- ④ The information system established will vary in complexity according to a number of factors including project focus, length and cost, and the diversity and volume of training activities. Currently, in the case of short courses with a skill transfer focus, output data for each training activity is included in quarterly reports submitted by the AMC to AusAID. An additional minimum requirement should be the reporting, in summary form, of training activity output data on a cumulative basis for the project. This information could be presented, probably on a single page, as an extra table in quarterly reports.
- ④ The AMC should have primary responsibility for the collection, analysis, and reporting, as required by contract, of basic output data for STT and capacity building activities.

These would usually include such activities as: short training courses, work attachments, and study tours; and the data may be collected mainly by the contracted course provider.

④ For each training activity, the minimum of basic output data, to be collected by the contracted course provider and collated for reporting by the AMC, should include:-

- the number of participants and participant days with disaggregation by gender
- the nationality of participants
- the total cost of the training activity
- the cost per participant day
- the number of counterpart personnel/trainers involved and attendance days with disaggregation by gender

Depending on the aims of a specific training activity and of the overall project, it may be appropriate to collect other basic output data from time to time such as:-

- participant location - urban, rural or provincial
- membership of disadvantaged group or minority
- employment affiliation - self-employed, public, private, NGO or other.

Compilation of this data over time - such as cumulatively in project quarterly reports - will provide basic quantitative performance indicators. Analysis of this data together with that identified in Chapter 4 in relation to the monitoring of training delivery should assist project management and decision making at PCC and annual planning meetings. The analysis of such data can also yield cost efficiency information about different forms of training, optimum size of activity groups, and comparisons of in-country and in-Australia costs.

④ Policies affecting the collection of data relating to STT activities invite further consideration within AusAID because the issues are not fully appreciated by the consultants. To have the basic data for each participant in every short training activity of whatever length captured in the SIMS data base as an individual entry may not present the most useful or cost effective option. On a composite index of course objective, length and cost it is proposed that participant data for in-

country short training courses be *not* entered into SIMS if the following criteria are met:-

- Course Objective - primarily skills transfer including basic knowledge
- Course Length - less than 20 days of direct training activities
- Course Cost - to be determined on a country basis because of the range of country dependent variables.

Summaries of training activity output data - including the minimum performance indicators outlined above - and course completion reports collated quarterly by the AMC will include this data which may be excluded from SIMS.

- ④ Data deriving from evaluations and assessments is to be recorded by the AMC as an essential element in both performance monitoring of training activities and forward planning. Much of this information will be submitted to AusAID by quarterly and other reports. This includes data from the monitoring and evaluation of training delivery discussed in Chapter 4, that from any assessment of training outcomes which is the subject of Chapter 5, and other sources. Some of the evaluation data may be qualitative or quantitative in form and partly qualitative as is the case with the evaluations of course content and trainers. The proposed use of a reasonably standardised format and common scale for evaluation will strengthen the integrity of the data and the database.

When experience with these measures is tested and refined through implementation within country and project specific situations, it should be possible to refine the selection and use of appropriate performance indicators.

3.4 Evaluating learning outcomes

3.4.1 Training needs analysis

Training Needs Analyses (TNAs) must be rigorous and suitably detailed to help ensure that learning needs and training outcomes are clearly defined and thus provide a basis on which knowledge and skills acquisition and workplace impact can be measured. Project designs must therefore allow for adequate time (and resources) prior to training delivery for TNAs to be conducted.

Ideally the project design should include provision for the AMC to work closely with the target agency in the selection of training course participants based on a TNA. In practice, some training programs will include participants who have been “drafted” or whose participation is seen as benefiting the target agency in ways which may not always be clear to the AMC. Designs which include:- (i) an allocation of time for AMCs to establish positive relationships with the target institutions, (ii) TNA based selection procedures, (iii) individual action plans, and (iv) follow up evaluation of the participants’ transition to the workplace, should help limit the use of training programs for purposes other than direct benefit to the target institution.

3.4.2 Evaluation and Adult Learning

Evaluation, as examined in this section, refers not to an activity in the project cycle but to learning and training outcomes. The term, evaluation, is used to describe the measurement of how well an activity or planned enterprise has achieved what it set out to do. The training plan is therefore an essential reference point for any training evaluation.

A useful distinction can be made between an end-of-course evaluation (usually undertaken on the last day of the training) and an ex-post evaluation of training impact (undertaken some months after the completion of training when participants are back at work). An end-of course evaluation is primarily concerned with assessing the degree to which knowledge has been gained and capability/skills developed by participants as a result of training. Ex-post evaluations, on the other hand, are likely to focus more on assessing behavioural change among individuals who participated in the training and, where appropriate, the impact of the training on the activities and performance of the organisation from which participants come.

One can therefore distinguish four main results of training that can be the subject of evaluation, namely:-

- ④ **Knowledge gained** - To undertake this form of evaluation, some form of pre- and post-test assessment is carried out to determine objectively what participants have learned as a result of participation in the training activity. The pre-test may either be carried out at some time prior to the commencement of the course, or as part of the first day of training. The post-test is usually carried out on the last day of the training.

- ④ **Capability developed** - Evaluation of capability and skills development is also carried out through conducting a pre- and post-test of what participants can do before and after training. This is the main focus of the evaluation of competency based training activities.
- ④ **Behaviour change** - Some short term training aims explicitly to improve workplace performance. At this level an evaluation needs to be made of the extent to which newly acquired knowledge and newly developed capability is used by individual participants back in the workplace after training has been completed. Has the training experienced brought about a change in the behaviour of participants that is consistent with the objectives of the course? This form of evaluation usually requires workplace visits and uses a mix of questionnaires, interviews including senior personnel and possibly colleagues, and observation. This mode of evaluation is relatively complex and costly, as it must account for a complex range of factors including cultural context, individual motivation, the recognition and reward regime, and other conditions pertaining in the workplace.
- ④ **Organisational outcomes** - At this level an assessment is made of what changes occur in organisational behaviour and outcomes, that is collective improvement, as a result of changes in individual behaviour resulting from training activities. This form of evaluation is carried out at a specific time after the training course. It may be that individual participants have achieved personal change consistent with the objectives of the training experienced, but that the culture of the organisation suppresses that behaviour. In effect there is a clash between organisational culture and the objectives of the training course. This level of evaluation is rarely carried out. Part of the reason is the financial and other costs involved. Another practical difficulty is how to establish a direct cause and effect relationship because of the number of variables that influence organisational outcomes, including participation in more than one training activity or informal personal development that is not easily identified.

The above is a profile of generic levels of evaluation. In practice, elements of different levels are sometimes combined.

3.4.3 Reaction evaluation

At the completion of training, it is also valuable to evaluate the reaction of participants to such matters as:-

- ④ content of course - materials, exercises, applied or field-work
- ④ presentation by trainer and any guest presenter
- ④ organisation of the course - design and physical arrangements
- ④ perceived usefulness of the course
- ④ overall rating for the course

Reaction evaluations are suited to a wide range of training activities, and provide a valuable source of information for improving the design of future similar training activities.

3.4.4 Key Factors in Evaluation

When training evaluation is being designed, it is important to take account of such factors as:-

- ④ training objectives and their relationship to any TNA
- ④ the clarity and conciseness with which the objectives have been described
- ④ the extent to which the objectives have been understood and accepted by participants
- ④ the organisational culture from which participants come and the extent to which it supports or is a barrier to the objectives of the training activity
- ④ the incentives that are provided to or are perceived by participants to be associated with the training activity
- ④ the overall level of participant motivation and of organisational commitment to the training activity

Not all of these factors can feature in an evaluation, nor should they. But each should be considered by the trainer or other person designing and conducting the evaluation exercise. Evaluation is implemented at a cost and in addition to other factors, the level and form of evaluation must be appropriate to the training activity and its objectives, and be appropriately reflected in the design.

4 Monitoring Training Delivery

The Terms of Reference for this study require the provision of guidelines and performance indicators for monitoring three key aspects of training delivery, namely:-

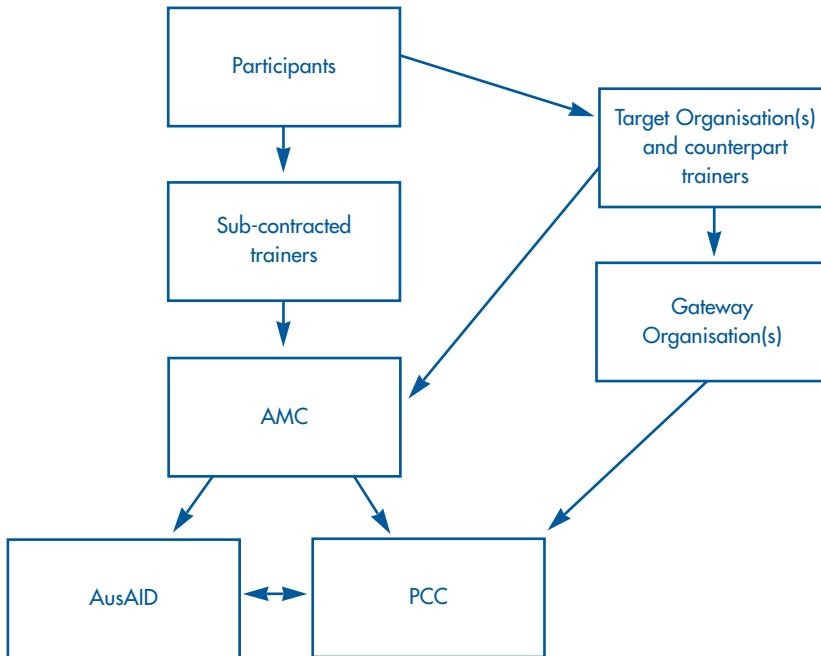
- ④ the quality and relevance of course content
- ④ course participants' progress, and
- ④ the quality of course trainers

In order for this information to reach AusAID and the PCC it must first be collected, recorded, analysed, interpreted and then reported in a clear and consistent format for each training activity. This first step will generally be the responsibility of sub-contracted training providers who will then provide the required information to the AMC through an end of training completion report. The AMC must then further analyse and aggregate the data and information from each training activity to provide a whole of project overview before reporting to the PCC and AusAID, usually on a quarterly basis.

Developing and managing this information system is one of the AMC's core management responsibilities. A set of integrated reporting formats need to be developed for use by training participants, subcontracted training deliverers and counterpart agency staff, and clear reporting procedures put in place. This is an essential part of any quality assurance system and its development needs to be appropriately resourced.

The main channels through which information will flow *to* AusAID about training delivery are shown in Figure 2 below. Feedback loops are not included in this diagram.

Figure 2 The flow of information to AusAID about training delivery



4.1 Quality and relevance of course content

The quality and relevance of the content of each training course should be assessed by three of the stakeholder groups, namely the participants, the AMC and, where appropriate, the target organisation or counterpart trainer.

Quality and relevance can be assessed separately, and therefore require clear definition.

The criteria one might use to assess the *quality* of course content could include:-

- 🌐 **Learning objectives and outcomes.** Are these clearly defined?
- 🌐 **Course program.** Is it well structured with a clear beginning, middle and end?
- 🌐 **Learning/teaching methods.** Are these clearly described and appropriate to the topic and the participants?
- 🌐 **Learning materials.** Are these adequate, well presented and user friendly?

The criteria one might use to assess the *relevance* of course content could include:-

- ④ **TNA.** Has a TNA of the organisation and of the individuals attending been conducted either before or during the course?
- ④ **Level of complexity.** Is the level appropriate to course participants' educational background and previous work experience?
- ④ **Local context.** Have training materials and methods been adapted to ensure contextual relevance?
- ④ **Application of learning.** Will participants be able to apply/use what they have learnt when they return to work?

As mentioned, the views of participants, the AMC and the target organisation should be assessed to build a composite picture of course quality and relevance. How this information might be collected is shown in the table below:-

Stakeholder	Collection/assessment instrument
Participants	Course evaluation questionnaire completed by participants at the end of the training activity
AMC	Sub-contractor evaluation format completed by the AMC following submission of training completion report by the sub-contractor
Target organisation or counterpart trainer	Course evaluation questionnaire completed by the target organisation head or counterpart trainer at the end of the training activity

The value and quality of information collected through an end-of-course evaluation questionnaire will be significantly determined by:-

- ④ **The clarity of questions.** Those completing the questionnaire must be clear what the questions mean and why they are being asked.
- ④ **The use of a consistent format and rating scale for key questions.** This is necessary if data collected from each course is to be aggregated and used to develop an overview of all training activities delivered through the project.
- ④ **How the questionnaire is administered.** Participants must be given adequate time (and space) to complete the questionnaire so that considered ratings can be scored and opinions given. Participants must be encouraged to be honest in their assessment and this requires that their anonymity be protected and respected.

A set of possible indicators and means of verification for monitoring and reporting on the quality and relevance of course content is provided in a logframe format on page 35. These could be collected for any STT activity in a consistent form that could provide aggregated project level data.

4.2 Course participants' progress

A good trainer will monitor the progress of participants *during* a training activity by ensuring that they have adequate opportunity to provide feedback to the trainer on any issues of concern. This can be achieved through group discussion at the end of a course element, through the application of more formal/structured mid-course questionnaires, or through other mechanisms such as a pin-board where participants can write up and display their comments or concerns about the progress of the course.

In the context of *project* monitoring, however, the AMC and AusAID will be more concerned with having an assessment of participants' progress at the *completion* of the training activity. The means by which this can be assessed will depend on the nature of the training activity being delivered and whether or not assessment criteria and tools are available to test participant's knowledge or competence.

If a test element can be included in the course design (such as might be the case in an English language course where the International English Language Testing System might be applied), then course participants' progress can be monitored through test results. The percentage of course participants meeting defined knowledge or competence standards can then be used as a quantifiable indicator of their individual and collective progress.

However, many STT activities will not easily lend themselves to such objective testing methods, and it may not be considered desirable or appropriate to have formal testing included as part of the course. This might be the case, for example, in a training activity focused on developing the planning skills of senior level managers within an organisation. In such cases the only practical way of assessing course participant's progress is to rely on a more subjective assessment by the participants themselves, the course trainer and the organisation from which they come.

The main tool for collecting this type of subjective assessment data is once again an end-of-course evaluation questionnaire completed by participants. The trainer's assessment should be made separately and

included as part of his/her training completion report. In most cases it would probably not be practical to have the counterpart organisation try to assess participants' progress at the end of a training activity. The counterpart organisation's view of participants' progress may be better solicited at a later date (once they have been back at work for a while) as part of an assessment of the *effectiveness* of training outcomes.

Possible indicators and means of verification for monitoring participants' progress are summarised in the logframe format on page 36.

4.3 Quality of course trainers

The quality of course trainers should be assessed by both the participants and the AMC at the end of each training activity. The criteria that might be used to assess trainer performance could include:-

- ⊗ Technical knowledge of the subject matter covered during the training
- ⊗ Use of appropriate learning/teaching methods
- ⊗ Ability to communicate clearly and empathetically with participants
- ⊗ Well organised and prepared for each session
- ⊗ Provision of appropriate high quality learning materials

The tool for collecting participants' assessment should again be the end-of-course evaluation questionnaire, while the AMC should rate the trainer's performance as part of their sub-contractor's assessment procedure.

To help ensure that participants provide an honest assessment of the trainer, it is particularly important to ensure that the information they provide is collected in an appropriate manner which protects their anonymity. Mechanisms to help ensure this happens include:-

- ⊗ The trainer leaving the room while participants complete the evaluation form
- ⊗ Participants 'posting' their completed evaluation forms into a box in the style of a secret ballot (rather than giving them to the trainer); and
- ⊗ Someone other than the trainer administering the questionnaire

Suggested indicators for evaluating the quality of trainers at the end of a training activity are provided in the logframe format on page 36.

4.4 Incorporating an independent assessment

While AusAID will expect the AMC to provide a suitably objective assessment of the quality of course delivery, there may be merit in undertaking a periodic audit of selected courses using an independent assessor. Technical Assistance Groups (TAGs) or Technical Monitoring and Review Groups (TMRGs) are being used for this purpose on other projects.

While this approach has the advantage of providing a more independent assessment (the AMC has an interest in reporting positive outcomes), this needs to be balanced against the additional cost and the possible concern that this may be monitoring overkill. It is, after all, a major part of the AMC's job to monitor and report on the quality of training design and delivery.

There is also scope for the post to contribute to monitoring the quality of training delivery by getting direct feedback from individuals who have recently attended training and from managers within those organisations who have provided participants.

Suggested indicators and means of data collection for monitoring defined elements of course delivery

Information element	Primary Source	Indicators	Means of data collection, storage and reporting
Quality of course content	Participants	<ul style="list-style-type: none"> - % of participants rating the overall quality of the content of each course as 'excellent' or 'good' out of a five point rating scale (excellent, good, adequate, poor, very poor). - % of all courses for which the content is rated as 'excellent' or 'good' by more than 70% of participants. 	End-of-course evaluation forms completed by participants, analysed and summarised by the trainer and reported to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC
	AMC	<ul style="list-style-type: none"> - AMC's overall rating of the quality of course content against established criteria using the same five point scale. - % of all courses for which the content is rated as 'excellent' or 'good' by the AMC. 	Sub-contractor performance assessment form, completed by AMC following submission by the sub-contractor of training completion report together with copies of all materials developed and used in the training activity
Relevance of course content	Counterpart	<ul style="list-style-type: none"> - Counterpart's overall rating of the quality of course content against established criteria using the same five point scale. - % of all courses for which the content is rated by counterpart trainers as 'excellent' or 'good'. 	End-of-course evaluation forms completed by counterparts and submitted directly to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC
	Participants	<ul style="list-style-type: none"> - % of participants rating the overall relevance of course content as 'very relevant' or 'mostly relevant' out of a five point rating scale (very relevant, mostly relevant, partly relevant, not very relevant, irrelevant). - % of all courses rated as 'very relevant' or 'mostly relevant' by more than 70% of participants. 	End-of-course evaluation forms completed by participants, analysed and summarised by the trainer and reported to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC
	Counterpart	<ul style="list-style-type: none"> - Counterpart's overall rating of the quality of course content against established criteria using the same five point scale. - % of all courses rated by counterpart trainers as 'very relevant' or 'mostly relevant'. 	End-of-course evaluation forms completed by counterparts and submitted directly to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC

Information element	Primary Source	Indicators	Means of data collection, storage and reporting
Relevance of course content (cont.)	AMC	The AMC's assessment of relevance should be based on analysis of the response by participants and counterparts	
Course participants' progress	Participants	<ul style="list-style-type: none"> - % of course participants rating their own progress at the end of the training activity as 'excellent' or 'good' out of a 5 point scale (excellent, good, adequate, poor, very poor). - % of all courses for which more than 70% of participants rated their progress as excellent or good. 	End-of-course evaluation forms completed by participants, analysed and summarised by the trainer and reported to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC
	Trainer	<ul style="list-style-type: none"> - (Where appropriate/possible) % of course participants meeting defined competence standards or levels of knowledge acquisition (pass/fail) - % of participants subjectively assessed by the trainer as having benefited from the training and made progress towards the desired learning outcomes 	<p>Beginning and end-of-course assessment of participant competence or knowledge, administered and analysed by the trainer and reported to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and the PCC.</p> <p>Trainer's course completion report submitted to the AMC</p>
Quality of course trainers	Participants	<ul style="list-style-type: none"> - % of participants rating the quality of the course trainer(s) as 'excellent' or 'very good' out of a five point rating scale (excellent, good, adequate, poor, very poor). - % of courses for which more than 70% of course participants rated the quality of course trainers as 'excellent' or 'very good'. 	End-of-course evaluation forms completed by participants, analysed and summarised by the trainer and reported to the AMC. Key data elements then entered into a training delivery database and reported on a quarterly basis to AusAID and PCC
	AMC	- AMC's rating of the quality of course trainer(s) as either excellent, good, adequate, poor, very poor, based on observation, review of trainers completion report and feedback from the counterpart organisation(s)	Sub-contractor performance assessment form, completed by AMC following submission by the sub-contractor of training completion report together with copies of all materials developed and used in the training activity

5 Assessing the Effectiveness of Training

5.1 Introduction

This chapter deals with two linked issues related to project outcomes and impact: (i) assessing the effectiveness of training outcomes in terms of participants' performance on return to the workplace; and (ii) consideration of options for post-training reinforcement strategies following participants' return to the workplace. AusAID's need to know more about these is proportionate to the challenge of establishing performance indicators applicable to all STT and capacity building projects. It is fairly straightforward to collect project data about efficiency, management effectiveness, and unit costs to guide judgements about training activities. Indicators of project achievement in terms of post-training performance are often less tangible and project diversity encourages a cautious approach to a uniform set of indicators. To know the extent to which training activities meet needs, i.e., are effective, and on what basis in terms of workplace benefits, is an important element in evaluating STT projects.

The framework of training outcomes and evaluation levels outlined in Chapter 3 is relevant to the two issues reviewed in this chapter, namely evaluation of behavioural change and organisational outcomes.

5.2 Assessing the effectiveness of training outcomes

5.2.1 Issues

Issues relating to the assessment of training outcomes in terms of participants' performance on return to the workplace include:-

- For STT and capacity building projects addressing targeted institutions or defined client groups that are longer term, from three to five years in length, there is a prospect of

systematically undertaking evaluation of participants on their return to the workplace.

- Some designs for longer term projects have an element of participant and workplace evaluation clearly provided. For instance, one project specifies a long term Australian adviser for monitoring and evaluation whose responsibilities include development of a project MIS with a training data module and undertaking workplace assessment of training outcomes, referred to as alumni tracer studies. Depending on project variables of cost, complexity, length and the extent to which objectives focus on institutional development, the inclusion of this element should contribute to an ability to assess effectiveness.
- The in-country presence of the AMC is a key factor in the project's capacity to conduct assessment of training outcomes in the workplace. Longer term projects with a resident project team have a capability to build on end-of-course evaluations and link them with any post-training assessment.
- The standing of the counterpart agency and the profile given to training and human resource development activities in that agency or within the country are interrelated significant factors. The role and status of the PCC and of any Project Management Team are important, as is the nature of links to employers and groups sponsoring participants. Where the AMC makes two annual in-country visits and the in-country time of training providers is limited to course presentation, critical elements in project operations depend on counterpart agencies and officers. Consideration of these factors is necessary before undertaking any effectiveness assessment of participants in the workplace.
- The following two types of training, usually associated with a project focus on targeted institutions or groups, are suitable for assessment of workplace training outcomes:-

Intensive training to upgrade knowledge and skills - These include specialist intensive courses, often of several months' length, that could lead to a competency award. Examples include training for IELTS, for nursing and public health specialisations, or small machine maintenance. Participants from such courses can be tracked and assessed in terms of training outcomes more easily than many other categories.

Issue based training - This is exemplified by the action plan training mode which focuses on an issue involving the commitment both of the organisation and the motivated individual in an outcomes learning approach. In one project, groups of participants are linked to a senior staff member who acts as mentor in relation to issue identification and to subsequent implementation of the action plan after training. Selection criteria and procedures are necessary to ensure that the staff member is capable of fulfilling the mentor role. Assessing the effectiveness of training outcomes in terms of participants' performance on return to the workplace should be possible for this and comparable training modalities.

5.2.2 Select Performance indicators

Performance indicators for use in assessing the effectiveness of training outcomes will vary according to project and country of implementation. Whatever the project specific situation and any particular constraints to workplace assessment, one approach is to evaluate outcomes in terms of performance indicators that apply to individual participants and performance indicators that apply to organisations. Usually the latter are the employers of training participants. The ensuing comparative analysis of two sets of evaluation data should increase the value of findings.

- Individual performance indicators:** These could be part of an evaluation to be conducted, by questionnaire and/or interview, between six and 15 months after the end of formal training. Basic criteria to be included are:-
 - **participant location** - continuing in employment with the same organisation?
 - **participant further training** - undertaken, at own initiative or nominated by employer, in same or related area as previous training?
 - **participant promotion or new/expanded responsibilities** - in same or related area as previous training, as a consequence of training?
 - **participant work performance** - self perception in terms of knowledge, capability and behaviour learned through training activity, and participant's appreciation of others' perception of same outcomes?

- **participant post-training evaluation** - of training activity in terms of quality, relevance, usefulness, and other factors?
- **participant morale and relationships** - following training, for instance, with fellow-participants, with non-participants, with senior staff, with the organisation?
- **participant career aspirations** - their relationship to training activity?
- **participant identified issues** - others of work or personal significance?

🌐 **Organisational performance indicators** - These could be based on a mirror image set of whatever questions were asked of the participant. If the project is large, has some focus on capacity building or institution strengthening, and evaluation capacity is available, the organisational assessment could use a top-down and a bottom-up evaluation, depending on local mores. This would allow similar questions to be asked of a participant's senior officer and of either subordinates or colleagues. Issues that extend beyond a narrow definition of training outcomes assessment, but may relate to project goals, objectives and impact, could be explored if appropriate. Examples of these are:-

- **Other training completed** - What other training has been initiated as a result of project training, for non-participants as well as for participants?
- **Further training** - What further training needs were identified as a result of the project training and the action taken to meet those needs?
- **Non-training effects** - What non-training deficiencies or strengths has the project training activity highlighted?
- **Cost and benefits** - What cost and benefits, not only financial, have there been to the organisation as a result of project training?

These are a selection of general indicators which can be varied as required. Others specific to the training activity, participant's occupation and organisation would need to be devised. They could include perspectives additional to those of the participant and the organisation which would also serve to assess the effectiveness of training outcomes. For example, comparative levels of community

awareness after HIV/AIDS training activities for health and media personnel could be a measure of training effectiveness with due account being taken of other variables.

5.3 Post-training reinforcement strategies




Options for post-training reinforcement strategies associated with any STT and capacity building project can be considered in three frames of reference. Strategies can be viewed in terms of issues relating to: (i) training and learning modality; (ii) the participant; and (iii) the organisation. This division is an analytical tool, not a blueprint and some categories overlap.

5.3.1 Training and learning modality




- 🌐 Refresher courses, advanced level short courses and follow-up seminars are among ways to reinforce initial previous training outcomes. These are easy to program in a longer project. They could be used effectively in each of the two basic types of STT and capacity building projects.
- 🌐 Issue and action based training models strongly link the before-training and after-training situations with the training activity. This approach also unites participant motivation and organisational commitment with an identifiable training product. It has great potential to reinforce training outcomes in the workplace and it should be considered for use in all STT projects.
- 🌐 Competency based and award tested STT courses provide opportunity for high quality and motivated participants to continue training and study through distance learning modalities. National, regional and Australian distance education providers offer a range of open, technical and vocational, and higher education courses.

5.3.2 Participant level issues

- 🌐 Participant motivation and excellence during training and on return to work should be recognised by workplace contact, possibly through the counterpart officer, and opportunity to undertake additional training. Training outcomes in the workplace would be further reinforced if perceived benefits like practical training attachments and study tours were awarded firstly to outstanding trainees.

-  Former distinguished participants can be used in current training activities to esteem them and the training, and also to reinforce training outcomes in the workplace. Depending on organisational and broader cultural factors, these participants can also be used in a mentoring role for recent trainees returning to the workplace.
-  While not a uniform feature of training courses in Australia, the presentation of certificates for active participation and for knowledge and competency attainment to short course participants can be seen in some societies as appropriate, even necessary. If suitably designed - possibly to AusAID design criteria - these certificates displayed in the workplace form another link with training and could help bond former participants as change agents. Competency certificates also have practical uses in employment and for recognition of prior learning.
-  Tracer and alumni studies to identify and link graduates are inappropriate to STT participants unless special circumstances exist, and are not seen as part of workplace reinforcement. Such studies are associated with long term awards leading to a formal qualification, are costly to conduct, and difficult to maintain. Training data collection for STT activities as discussed in Chapter 3 will furnish adequate information.

5.3.3 Organisational level issues

-  Use of senior staff and former distinguished participants as occasional trainers or resource persons and as workplace mentors for issue based training is a means by which close links can be maintained with employing organisations. It is important to involve line managers as well as training and HRM personnel. This should tighten the loop between TNA and workplace reinforcement and lead to effective STT outcomes, particularly if a substantial body of trainees builds up.
-  Constraints to training reinforcement in the workplace need to be evaluated periodically as does the design of the action plan to ensure current relevance.
-  In a long term project with a training focus on an institution or a client group, formation of a project or training liaison group could strengthen training outcomes in the workplace. This group would be most useful where the number of trainees

has become substantial; and it could serve as another point of contact. Local factors will influence whether it should be formally constituted and if the counterpart agency is to be represented. One important function would be to assist the re-induction of trainees into the workplace after course participation.

- ④ Linkages between occupational and professional groups in country and between the country and Australia can be fostered selectively as part of post-training reinforcement. These can operate at various levels of structure and formality. One prospect would be to facilitate contact through some of AusAID's targeted professional association and institutional link programs. In projects involving study tours of Australia, the idea of a linkage could be initially explored by including on the itinerary a meeting with the Australian body or institution. Another example relates to link arrangements to support distance education studies, such as those which the Open Training and Education Network has with several overseas organisations.

Annex 1

List of reference documents

AusAID Documents and Reports

General:

AusAID	Guidelines for Project Documentation for Results Focussed Outputs Contracting, Canberra, Draft May 1997.
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AusAID	Equal Partners: Gender Awareness and Australian Development Cooperation, Canberra, 1997.
AusAID	Measuring Efficiency and Effectiveness of AusAID's In-Australia Student Programs - Phase 1 Scoping Paper, Canberra, June 1997.
Downer, Alexander	Education and Training in Australia's Aid Program: Policy Statement announced by the Minister for Foreign Affairs, Canberra, August 1996.
Downer, Alexander	Gender and Development - Australia's Aid Commitment: Policy Statement announced by the Minister for Foreign Affairs, Canberra, March 1997.
Downer, Alexander	Better Aid for a Better Future: Seventh Annual Report to Parliament on Australia's Development Cooperation Program and the Government's Response to the Committee of Review of Australia's Overseas Aid Program, Minister for Foreign Affairs, Canberra, November 1997.
Simons, P (Chair)	One Clear Objective: poverty reduction through sustainable development, Report of the Committee of Review of the Australian Overseas Aid Program, AusAID, Canberra, April 1997.

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AusAID Project Design Document: India Australia Training and Capacity Building Project, Canberra, October 1997.

AusAID Australian AID to India: Draft Program Profile 1997-98, Canberra, January 1998.

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AusAID Indonesia: Eastern Islands - Study of Lessons Learned in Aid Delivery by AusAID and Other Donors, Canberra, First Draft January 1998.

Mozambique:

AusAID Program Design Document: Mozambique Capacity Building Program, Canberra, 5 June 1997.

AusAID Report of a Study of AusAID's Education and Training Programs in Africa, Canberra, February, 1997. (Also includes South Africa and Zimbabwe.)

Pacific:

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AusAID Pacific In-Country Training Projects: Fiji, Quarterly Report, (12 June - 30 September 1997), HIE Melbourne, October 1997.

- AusAID Kiribati In-Country Training Project: Program Planning Mission 30 October - 4 November 1996 Draft Report.
- AusAID Review of the Tonga In-Country Training Program: First Draft, 6 November 1996.
- AusAID Review of the Western Samoa In-Country Training Program: First Draft, 6 November 1996.
- AusAID Project Planning and Management Course Kiribati: Consultant's Completion Report, PDM Pty Ltd, Canberra, May 1997.

Papua New Guinea:

- AusAID Papua New Guinea - Australia Targeted Training Project: Project Design Document, Canberra, October 1997.

Philippines:

- AusAID Project Design Document for the Philippines Australia Short-Term Training Program (PASTT), Canberra, no date.
- AusAID Philippines Program Profile: Australian Development Cooperation with the Philippines, Canberra, July 1997.
- AusAID Australia and the Philippines Development Cooperation: Country Strategy Paper, Canberra, November 1995.

South Africa:

- AusAID Australia and South Africa Development Cooperation: Country Strategy Paper, Canberra, Draft 1997.
- AusAID Report of a Study of AusAID's Education and Training Programs in Africa, Canberra, February, 1997. (Also includes Mozambique and Zimbabwe.)
- AusAID South Africa - Review of the Public Sector Support Program, Canberra, December, 1996.

Vanuatu:

- AIDAB Vanuatu Government Training Centre: Draft Project Design Document for AIDAB Assistance from Mid-1993 to Mid-1997, PRT Sydney, March 1993.
- APTA Vanuatu Government Training Centre: Project Implementation Document for AIDAB Assistance from July 1994 to June 1998, APTA Sydney, May 1994.
- AusAID Vanuatu Government Training Centre Project: Mid-Term Review Final Report, Canberra, December 1996.

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- Sloper, D W “Management in Higher Education: An Institutional Perspective in Relation to HEMIS” paper presented at the National Workshop on Higher Education Management Information Systems, Kunming, People’s Republic of China, UNESCO, (37 pp) December 1994.
- World Bank Development in Practice: Higher Education - The Lessons of Experience, The World Bank, Washington D C, 1994.
- World Bank Development in Practice: Priorities and Strategies for Education - A World Bank Review, The World Bank, Washington D C, 1995.

Numerous AusAID reports, files and other documents were also reviewed; and advice and interpretation about matters contained in them were obtained from AusAID staff.

Annex 2

List of people consulted

Name	Agency	Section	Phone
Carolyn Brennan	AusAID	Evaluation	4267
Richard Jones	AusAID	Indonesia	4035
Bishi Leatham	AusAID	South Africa	4725
Bruce May	AusAID	South Asia & M.East	4819
Nona Bennet	AusAID	Pacific Islands	4780
Penny Price	AusAID	Pacific Islands	4921
Patricia Sullivan	AusAID	Pacific Islands	4201
Gary Ellem	AusAID	PNG	4867
David Swan	AusAID	Philippines	4745
Patrick Dennis	AusAID	Philippines	4741
Brian Hearn	AusAID	PSS11	
Mick Rice	AusAID	Contracts	4927
Geir Martensen	AusAID	Contracts	
Steve Barber	AusAID	Contracts	
Melissa Talbot	AusAID	Contracts	
Thila Kirubaitihika	AusAID	Contracts	
Ross Batten	AusAID	Vietnam	4874
David Chantrill	AusAID	ASG - Education	4293
Sue Connell	AusAID	Education & Training	4873
Eileen Wahab	AusAID	ACPAC	02-99609552
Chris Elstoft	AusAID	PSS I	
Lorelle Bakker	AusAID	Indonesia	4825
John Bailey	AusAID	Evaluation	
Gaynor Shaw	AusAID	PNG	4054
Ray Marsden	AusAID	Vanuatu	
Maryann Athaid	AusAID	Vanuatu	4785
Cecilie Young	AusAID	Vanuatu	4952
Peter Batten	AusAID	PSS I	4788
Rob Trantner	AusAID	Kiribati	
Patricia Sullivan	AusAID	Fiji	4201
Ray Lloyd	AusAID	Environment, Agriculture, Infrastructure	

Name	Agency	Section	Phone
Stephen Parsons	AusAID	AMS	
Jane Taylor	AusAID	AMS	
Alicia Curtis	AusAID	AMS	
Irene Wettenhall	AusAID	Evaluation	
Lou Langford	AusAID	Director - Pacific Bilateral Section	4780
Sophie Anselmi	AusAID	Tonga	
Kevin Egan	Hawthorne	Manager - SP and Vietnam projects	03-9810 3204
David Hopgood	Hawthorne	Project Coordinator - SP project	
Michael Blee	SMEC	Manager - Education and Training division	02-6280 7585
Laurie Hallam	SMEC	Education and Training Division	
Joan Melville	SMEC	Education & Training Specialist	
Brian Ruddle	GRM	Project Coordinator	03-3859 1500
Jodie Brown	IDP	Asst. Manager - Projects	02-6285 8222
Sheila Bell	IDP	Manager Customised Training	
Simon Payne	IDP	Manager - Project Development	

Annex 3

Appraisal Format

Purpose

This appraisal criteria checklist has been prepared to assist AusAID officers appraise the design of short-term training and capacity building projects and programs.

It is primarily designed to provide a framework for a desk appraisal, but could also be used during field work.

Its main purpose is to help the user identify the strengths and weaknesses of the design and the follow-up work that may be required to improve design.

How to use this format

A list of criteria are provided under 7 main headings, namely:-

1. **Design process and situation analysis**
2. **Design structure and scope**
3. **Training Design and Delivery**
4. **Project coordination and management**
5. **Monitoring and evaluation arrangements**
6. **Contracting issues**
7. **Sustainability and risk management**

The user should assess the extent to which the project documents provide the information suggested under each criterion by using the four point rating scale. The scale should be used as follows:-

- 1 ✓ Inadequate - requires significant extra work
- 2 ✓ Inadequate - requires minor re-working
- 3 ✓ Adequate
- 4 ✓ More than adequate - provides a notable example of good practice

The criteria cannot hope to cover all possible project design issues, and users are therefore encouraged to use the checklist as a starting point.

In certain cases some of the criteria provided may not be relevant, or be inappropriately worded. Again the user should recognise the limitations of any such checklist and use their own judgement to reword questions, ignore some and add others.

The checklist can be used by one person or be completed as a group/team exercise. There are significant advantages to getting a team consensus on the extent to which the project design meets the criteria.

Once a rating is given to each criterion (by ticking the appropriate box), the back sheet of the checklist can then be used to firm up the scope of the follow-up work required. This should focus primarily on criteria that have rated 1 and 2.

1. Design process and situation analysis

Criteria	Rating			
	1	2	3	4
1.1 The rationale for the project is described by providing clear specification of the development problems to be addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2 Where appropriate, lessons learnt from similar activities have been described and addressed in the project design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3 There is a supporting local policy and program framework as evidenced through reference to relevant legislation, policy documents, strategy papers and corporate plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 The link between this project and other AusAID projects and programs is clearly addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5 Other donor programs and projects which impact on STT and capacity building in the targeted sector(s) have been reviewed and complementary linkages identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.6 A stakeholder analysis is included which provides a clear profile of the main local agencies involved in the project and their capacity to participate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7 There is evidence that local agencies and individuals have been actively involved in initiating and managing project preparation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8 There is evidence of Australian capacity to deliver the training activities being requested	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Design structure and scope

Criteria	Rating			
	1	2	3	4
2.1 The structure and content of the PDD meet AusAID design requirements as specified in current guidelines, and provide a clear and concise description of what the project aims to achieve	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 The project goal provides a clear link to the policy and program focus which the project aims to contribute towards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 The sector focus of the project is clearly specified in such a way that the targeting of project resources will be facilitated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 Project objectives are consistent with the goal, are identified for each project component and provide a clear basis for identifying appropriate indicators and means of verification for evaluating project impact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.5 Project objectives clearly indicate the extent and scope of institutional strengthening and capacity building to be supported	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.6 The longer-term nature of institutional strengthening activities is recognised in the design including the fact that IS objectives cannot be realistically met by one-off STT activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 Project outputs provide the means by which objectives will be achieved and are specified in terms of the measurable products of training and capacity building activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.8 Distinction is made, where appropriate, between project outputs and contractable outputs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.9 A project logframe is provided which is consistent with the narrative description provided in the body of the text and helps provide a clear summary of what the project expects to achieve and how	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.10 The priority target groups for training are clearly identified and provide adequate guidance to those who will be responsible for identifying and designing specific training activities and selecting participants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.11 Gender equity considerations are clearly addressed and appropriate mechanisms for promoting balanced participation by women and men in the overall program are described	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.12 The design is not over-prescriptive and does not try to specify those details of the project which are best dealt with by project managers once implementation starts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.13 An inception period is allowed for to enable the AMC to update the project design in partnership with local counterpart agencies, and establish an operational capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Training Design and Delivery

Criteria	Rating			
	1	2	3	4
3.1 The project is designed to be responsive to the demand for training rather than simply providing a supply mechanism to provide pre-packaged courses in pre-determined areas of study	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 The responsibility for identifying training requirements is clearly defined and vested primarily with the requesting organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 Local capacity to identify and document training requests is assessed and appropriate support provided through the project where required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 The criteria to be used to appraise training applications are described, and any limitations placed on the scope or cost of individual training activities are clearly specified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5 Procedures for approving the scope of the forward training program are clearly described and respective responsibilities of the PCC and AMC identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6 The type of training to be provided through the project is consistent with project objectives and reflects whether the project aims to support IS objectives or focus more on skills transfer to individuals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.7 Where institutional strengthening objectives are to be supported, the design recognises that there must be an organisational focus and a concentration of resources over an extended period of time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.8 Procedures for training needs analysis are clearly described, recognising that TNA must usually be carried out in two distinct phases - the first prior to application to the PCC and the second after PCC appraisal and approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.9 Respective responsibilities for conducting TNA in the first and second phase are clearly described, and the expected role of the AMC defined	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.10 The resource requirements for conducting TNA are assessed and realistic provisions made for both AusAID and local contributions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.11 Participant selection criteria are adequately described and provide a framework within which the PCC can develop specific operational procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.12 Issues of individual motivation and organisational commitment are addressed and appropriate mechanisms included in the design which promote both of the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Project coordination and management

Criteria	Rating			
	1	2	3	4
4.1 The design provides clear guidance as to how stakeholders will coordinate their activities and inputs and specifies expected decision making responsibilities and authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2 Distinction is made between the respective roles and responsibilities of organisational units at different levels within government bureaucracies, such as the 'counterpart', 'gateway' and 'target' organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3 Distinction is made between the policy and technical issues associated with project implementation and where a PCC is proposed, its policy management role is clearly defined in this regard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 The need to coordinate with other donor financed training activities is clearly recognised to avoid duplication, and promote complementarity, of effort	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5 Where a PCC is proposed, it is chaired by the lead counterpart agency and membership includes representative of all those agencies with a vested interest in seeing successful project outcomes, including the AMC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.6 Where a PCC is proposed, it is provided with adequate resources to function effectively and its local members are given the opportunity to learn more about the project through visits to observe training implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.7 An ongoing planning and review process is described which promotes management flexibility and supports training program relevance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.8 The respective management roles of AusAID and the AMC are clearly defined and promote the principle of linking management responsibility with decision making authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.9 The management responsibility of local agencies is clearly defined, and adequate emphasis given to promoting local management where organisational capacity building objectives are specified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.10 The resources required to effectively manage and administer the project have been carefully assessed and realistic proposals provided, including a listing of the recommended Personnel, Training, Procurement and Other inputs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.11 An analysis of how local planning and budgeting systems operate is provided, including the lead time required to have a project enter the budget cycle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.12 An assessment of local resource availability and constraints is provided, including funding, availability of appropriate personnel, the commitment of policy making and operational staff, and the status assigned to STT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.13 If an MoU between AusAID and the lead counterpart agency has been prepared/drafted, it is consistent with the content of the PDD and the scope of services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Monitoring and evaluation arrangements

Criteria	Rating			
	1	2	3	4
5.1 Responsibility for developing and managing the project's Management Information System is clearly described and specific resources allocated for undertaking the required tasks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2 The distinction between monitoring the delivery of project outputs, and evaluating the impact of training activities after training has been completed, is clearly described and provided for in the specification of M&E arrangements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.3 Suggested key indicators and the means of verification are provided for each component objective and each output, including, where appropriate, details of the expected quantity, quality and timing of outputs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.4 The cost-effectiveness of evaluating training impact back in the workplace is assessed for different types of training activities and practical recommendations made regarding the type of evaluation that can be justified in different circumstances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.5 Mechanisms and indicators for monitoring the quality of course trainers, participant progress and the quality and relevance of course content are described	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.6 Mechanisms for using the information gained from monitoring and evaluation activities are described, such as through a process of periodic review by the PCC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.7 Distinction is made between monitoring and evaluating training delivery and outcomes, and the monitoring and evaluation of the AMC's performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.8 Provision is made, as appropriate, for a mid-term review of project progress and for the preparation of a project completion report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Contracting issues

Criteria	Rating			
	1	2	3	4
6.1 A scope of services is provided which is linked to, and consistent with, the PDD and which clearly specifies the responsibilities of the AMC, AusAID and other PCC members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2 A distinction is made between project outputs and contractual outputs, based on an assessment of the AMC's control over output delivery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3 Project outputs are specified in terms of the tangible benefit that the project will deliver to the counterpart agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.4 Distinction is made between two types of contractual output - those which contribute to the effective management of the overall project and those associated with the design and delivery of individual training activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.5 Where appropriate, the basis of payment reflects the different nature of outputs specified for the overall management of the project and for the design and delivery of individual training activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.6 The basis of payment balances the need for the AMC to have adequate cash flow to cover overhead costs while providing the AMC with appropriate incentives to produce timely outputs meeting accepted quality criteria	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.7 The incentive mechanisms in the basis of payment do not unduly pressure the AMC into delivering more training activities than can be effectively designed or absorbed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.8 Where appropriate, a mixed basis of payment is proposed which distinguishes between the costs of (i) overall project management, (ii) training activity management, (iii) training delivery (the charges of sub-contracted training providers), and (iv) other reimbursable costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.9 It is clear what procurement guidelines are to be followed by the AMC, and these provide adequate flexibility for the AMC to undertake restricted tendering where open tendering is not a feasible or cost effective option	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.10 Sub-contracting procedures to be followed by the AMC accommodate those circumstances where training providers may need to be sourced from within the host country, or from within the AMC's own organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.11 The Performance Information requirements of AusAID and the Department of Foreign Affairs are clearly described	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Sustainability and risk management

Criteria	Rating			
	1	2	3	4
7.1 The project design provides a clear definition of sustainability in the context of the project's outputs, objectives and goal and specifies what it is, precisely, that should be sustained after project funding ceases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2 Where appropriate, sustainability of local capacity to design and deliver training is supported through adequately resourced technical assistance and other inputs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3 The desirability and practicality of target agencies nominating and supporting counterpart trainers for each training activity has been assessed and comment made as to how this may, or may not, promote sustainability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4 A risk matrix is provided which is consistent with the 4th column of the logframe and which clearly identifies plausible risk minimisation strategies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5 The project design is clearly informed by the results of the risk analysis, and provides for an intervention with an acceptable level of risk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

