

BTC CONTENTS HEADING

- 1. INTERVENTION FORM 3
- 2. INTRODUCTION 4
 - 2.1. SKILLS DEVELOPMENT FOR HUMAN RESOURCES..... 4
 - 2.2. APPROACH AND METHODOLOGY FOR THE BASELINE STUDY 7
- 3. FINAL MONITORING FRAMEWORK 9
 - 3.1 MAIN COMPONENTS OF THE INTERVENTION LOGIC..... 9
 - 3.2 COMPREHENSIVE REPRESENTATION OF THE THEORY OF CHANGE..... 10
 - 3.3 THE MONITORING MATRIX..... 14
 - 3.3.1. Impact level 14
 - 3.3.2. Outcome level..... 22
 - 3.3.3. Output level 25
 - 3.4 RISK MANAGEMENT PLAN..... 31
 - 3.4 OPERATIONAL PLANNING 38
 - 3.5 FOLLOW-UP MECHANISMS..... 40
- 4. ANNEXES 42
 - 4.1 INSTRUMENTS AND TOOLS 42
 - 4.2 INDICATOR FORMS 43
 - 4.3 CATEGORISATION OF BENEFICIARY ORGANISATIONS 46
 - 4.4 TERMS OF REFERENCE BACKSTOPPING MISSION 47
 - 4.5 LIST OF ACTORS THAT HAVE BEEN INVOLVED IN THE BASELINE PROCESS..... 63
 - 4.6 LIST OF COMPLEMENTARY STUDIES (IF ANY)..... 64

1. Intervention Form

Intervention name	Support to Beneficiary Institutes to the Skills Development of their Human Resources (SDHR)
Intervention Code	NN3014034 Navision Code: UGA 1188811
Location	Uganda
Budget	6.482.598 Euros (Belgian contribution)
Partner Institution	Ministry of Finance, Planning and Economic Development (MoFPED)
Date intervention start /Opening Steering Committee	Date of Specific Agreement: 26 March 2014 Steering Committee 1: 27 May 2014
End date Specific Agreement	25 March 2021
Target groups	Selected Beneficiary Institutes in the health, environment and education sectors, finally contributing to improved service delivery to the Ugandan people.
Impact ¹	Improved service delivery of Ugandan institutes and organizations.
Outcome	Increased skills of human resources of selected beneficiary institutes in the health, education and environment sectors.
Outputs	(1) The Sectorial Technical Committees for each sector are in place and are strengthened to perform effectively their tasks.
	(2) Selected Beneficiary Institutes are strengthened to develop and implement their human resource development plan based on a human resource needs assessment.
	(3) The human resource capacity of Beneficiary Institutes is effectively reinforced.
	(4) Individual scholarships are managed.
Total budget of the intervention	6.482.598 Euros (Belgian contribution) Ugandan contribution in kind

¹ Impact is a synonym for global objective, outcome is a synonym for specific objective, output is a synonym for result

2. Introduction

This Baseline Report is the final product of the Baseline process for the SDHR project. The document was written by the team after completion of the backstopping mission by MDF (see Annex 4.1).

2.1. Skills Development for Human Resources

Project background

Based on previous experiences with individual scholarships, a new strategic note was approved on 29th January 2012 and in line with that a new project was developed. Within this new project, called “**Support to Beneficiary Institutes to the skills development of their human resources**” (SDHR), the system of granting scholarships on an individual and isolated basis will evolve towards an integrated capacity development project that will target selected institutes in the concentration sectors of the Indicative Development Cooperation Program 2013/2016: health and education and also environment.

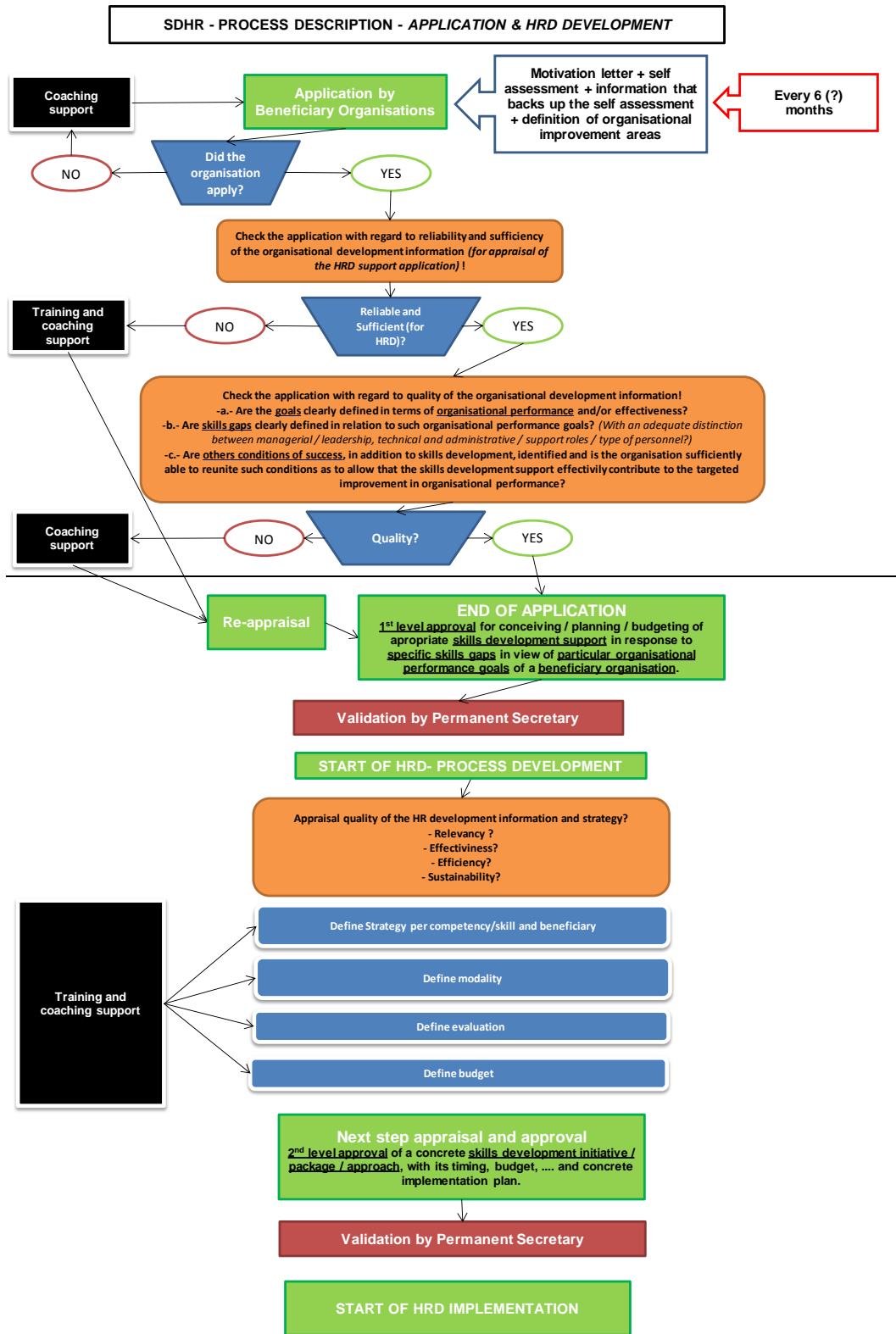
The intervention aims ‘*to contribute to a better service delivery of Ugandan institutes and organisations*’ (general objective) by ‘*increasing the human resource skills of selected Beneficiary Institutes in the health, education and environment sectors*’ (specific objective).

Based on an analysis of the Human Resource Development (HRD) situation in the sectors², the project adapted and developed the following phased implementation strategy also referred to as phased integrated capacity development framework:

- (1) Strengthening of quality organizational self-assessments as the basis for HRD initiatives;
- (2) The definition and improvement of strategic HRD-initiatives and training plans based on organizational needs; and
- (3) The definition and improvement of training processes that enable transfer of learning.

The implementation strategy foresees in an **application process** by selected Beneficiary Organisations. Sector Technical Committees (STCs, one for each sector) will appraise the application and based on the appraisal, tailored HRD support is foreseen based on the above logic.

² The findings are described later in this report (see Outcome level).



In addition, remaining ongoing scholarships will be managed as well.

Context

The implementation started formally on 26 March 2014 and in practice on 15 September 2014 when key staff of the implementation team arrived. Since the formulation (and last version of the Technical and Financial File, TFF) there were a limited number of changes in the context to which the intervention had to adapt accordingly.

The initially foreseen pre-selection of Beneficiary Institutes (BIs) resulted in a long list of over 1000 different organisations. To maintain the pre-selection manageable a different approach was adopted following 3 consecutive phases:

- *Phase 1: General assessment*
In this phase the list of identified organisations was quantified through the establishment of a databank. This made clear that 1.237 organisations were identified (where around 40 were planned for support). Also the elements of the selection procedure were assessed based on outputs of the quantification of the list of identified organisations and the review of the HRD situation in the sectors. This made clear that not all original selection criteria could be used, nor further clear-cut additional criteria could be identified, bringing the project to conclude that a guided deliberation process was needed.
- *Phase 2: (further) Pre Selection*
The databank was used with the useful selection criteria established in the TFF: 'character', 'localization' and 'connection (direct/indirect) to other interventions of the Belgian Cooperation' (step 1). Next a deliberation process was started with the respective sector ministries through bilateral contacts, meetings of the Co-Coordination Team and Portfolio Meetings based on the outcomes of phase 1 and the use of the databank (step 1).
- *Phase 3: Development of Selection Scenarios and final decision by the Ministries*
In this final phase selection scenarios were drafted and presented to the respective ministries. Based on the scenarios each ministry confirmed the selected beneficiary organisations for their respective sector (February 2015).

This resulted in a list with 44 BIs. The discussion with key stakeholders in between also led to the change from Beneficiary Institutes to Beneficiary Organisations (BOs) as a more appropriate term in the Ugandan context.

The first application round was just completed while developing this baseline. This experience appeared to be an important input for refining the Theory of Change as well as fine-tuning strategies and the choice of key indicators.

2.2. Approach and methodology for the baseline study

Methodology and approach

The methodology included a review of the Theory of Change and careful reconsideration of the existing set of indicators. As a result, some outputs were reformulated. The rationale for these changes is explained below (see 3.1).

The indicators already formulated in the TFF were screened based on their measurability and relevance for the related results (at output, outcome and impact level). Those that appeared less relevant and/or very difficult to measure were reformulated.

Throughout the whole exercise, team members were actively involved. The revised Theory of Change and corresponding indicators were also discussed with the members of the Co-Coordination team³ who provided additional input. At the end of the backstopping mission, a restitution meeting also took place with the Resident Representative.

Earlier studies were taken into account. The two most important ones are the Needs Assessment and the Impact Study of the scholarships programme by Adroit Consulting. The Needs Assessment gave some very generic insights in the type of difficulties, challenges encountered by a sample of 23 organisations in the education⁴, health⁵ and environment⁶ sectors related to training and capacity building. 7 of the 23 still belong to the actual list of selected beneficiary organisations.

But these insights are rather limited due to the fact that the methodology that was used did not really link training to organisational needs. The training needs were too much disconnected from the organisational realities and challenges.

The Impact Study of the scholarships programme (2005-2008; 2009-12) documented a sample of 30 success stories but failed to deliver on harder data with regard to obtained academic qualifications, scholars working in their field of study and the impact of bonding.

³ The Co-Coordination Team was introduced as a new project structure (originally not planned for in the TFF – approved by the Project Steering Committee of February 2015). As the intervention is not anchored in one particular ministry, the CCT will ensure the link between the intervention and the ministries and will be closely involved in the management and follow-up of the intervention and take joint decisions on the implementation with the Project Coordination Team. The Co-Coordination Team serves as such as an inter-ministerial coordination between the different ministries and BTC and is composed of the respective HRD or training staff of the respective ministries.

⁴ MoES Headquarters, National Council for Higher Education, Uganda College of Commerce Pakwach, Kabarole College of Commerce, Fort Portal, National Teachers' Training College – Muni, National Teachers' Training College – Kaliro, Business Technical, Vocational, Entrepreneurial Training (BTJET) Kyambogo, Survey School, Entebbe.

⁵ Ministry of Health Headquarters/Human Resource Development Department, National Drug Authority, College of Health Sciences – Makerere University, Health Service Commission, National Referral Hospital Mulago, Regional Referral Hospital Arua, Regional Referral Hospital – Buhinga, Fort Portal, Health Centre IV Pakwach, Health Centre III – Panyigoro.

⁶ Ministry of Water and Environment Headquarters, National Forestry Authority (NFA), National Environment and Management Authority (NEMA), Climate Change Unit (CCU), Wetland Management Department, Water Supply and Sanitation Committees.

Instruments and data collection tools

During the backstopping mission, several tools or instruments were developed to enable proper data collection and analysis for all of the revised indicators.

At outcome, impact level:

- A methodology to collect stories of change focussing on observable signs of improved service delivery and the link with HRD interventions of the project;
- An excel sheet to calculate average scores as well as aggregated scores based on the organisation self-assessment forms⁷;
- A questionnaire for HR staff and management of BOs to measure their satisfaction regarding filling of the skills gaps as well as the contribution of the project to improved organisational performance.

At output level, the project files, the already existing registration form for applications and the minutes of the STC meetings provide most of the required information. In addition to these, the following tools were developed:

- An evaluation form for standard end-of-course evaluations (output 3);
- An outline for standard end-of-course reporting by training providers, including aggregated evaluation data (per learning event) (output 3);
- The set-up for the tracer study to collect specific information related to scholars (output 4);
- A survey to measure the satisfaction of the HR staff and Managers of BOs regarding the definition of organisational needs, the HRD planning and its implementation (providing crucial information for output 1, 2 and 3).

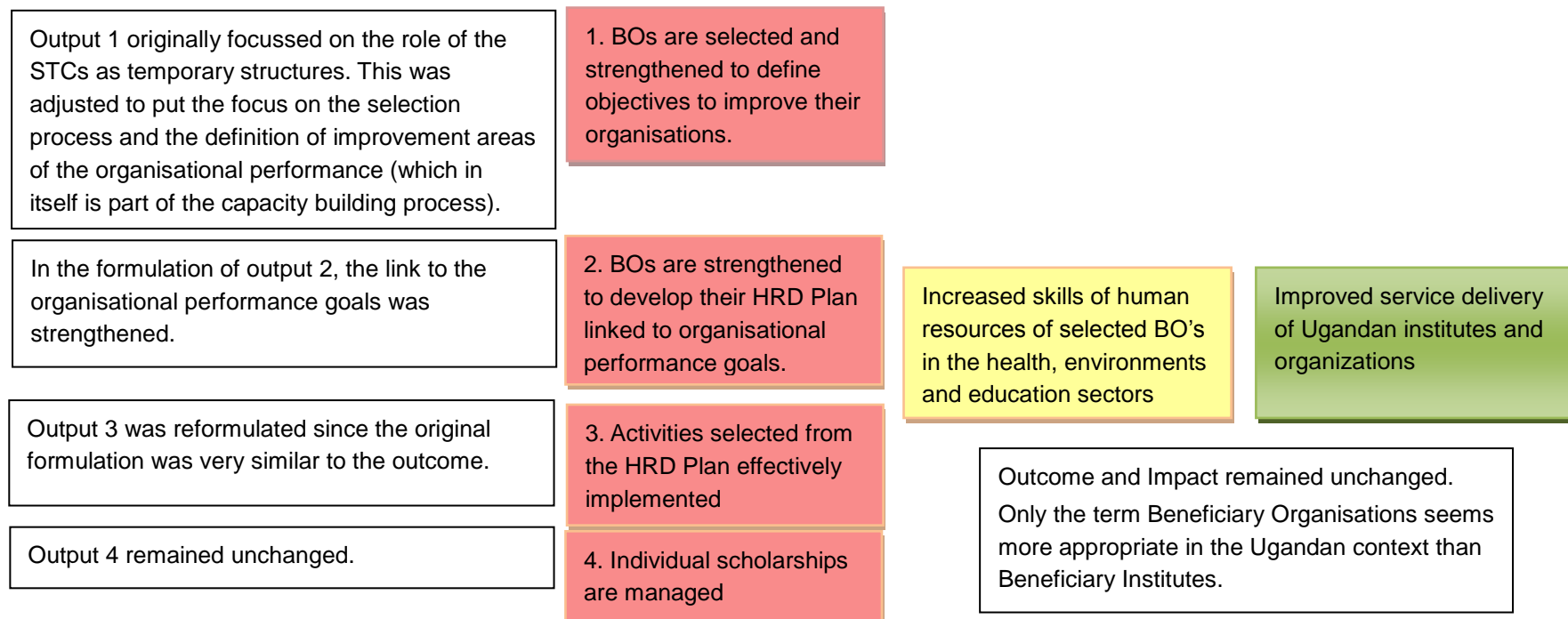
All of the above tools and instruments can be found in the **M&E Toolkit**. With these tools, the team expects to collect the most relevant information to enable proper steering of the intervention, foster systematic learning along the way and remain fully accountable as well.

⁷ Before the backstopping mission by MDF, an organisational self-assessment tool was developed with input and support from Stoop Consulting (2 days). This tool was part of the application process.

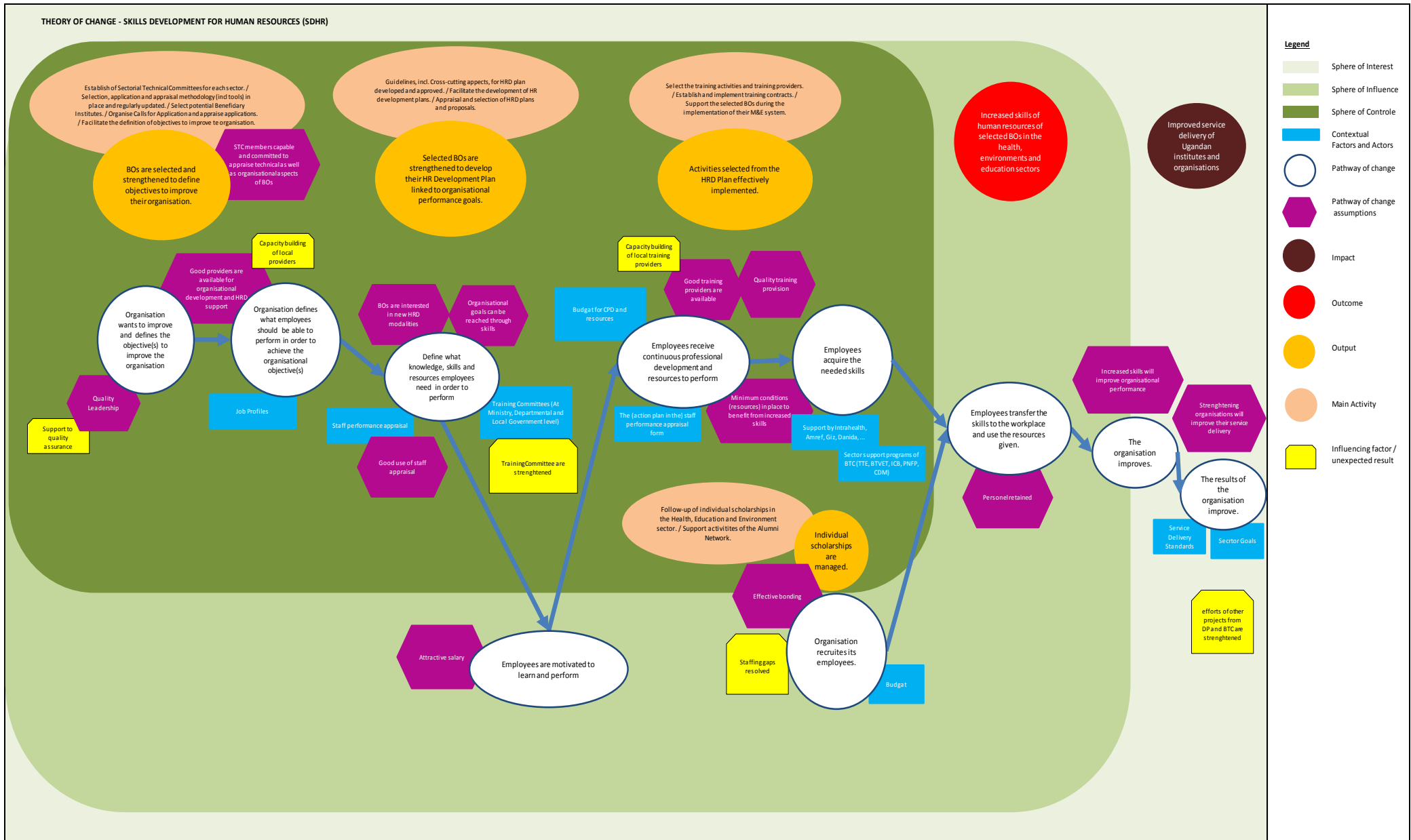
3. Final monitoring framework

3.1 Main components of the Intervention Logic

This Figure includes the main components of the Theory of Change (Outputs – Outcomes and Impact). **Where changes are made, this is highlighted below and an explanation is provided.**



3.2 Comprehensive representation of the Theory of Change



The picture above represents the full Theory of Change of the SDHR project. A brief explanation of a) assumptions, b) influencing factors/unexpected results, and c) the other contextual factors is given below.

Some of these elements became clear throughout the initial phases of the project and have led to further fine-tuning of the project's implementation strategy.

a) Assumptions

Note: The order of assumptions follows the 'pathway of change identified as part of the Theory of Change:

Quality Leadership: (Top) management within Beneficiary Organisations is motivated to make improvements in their organisations and sufficiently capable to complete the application documents up to a reasonable standard.

Good providers are available for organisational development and HRD support: The quality of the service provider(s) delivering support to refine the organisational objectives (for some BOs) and to define HRD strategies (for all BOs) will be crucial for the project's success.

STC members capable and committed to appraise technical as well as organisational aspects of BO's: First of all, some STC members have a specialised technical background and may not be very familiar with the concepts used in the organisational assessment. Secondly, for the STC meetings to effectively perform their task, a strong commitment from their side will be needed.

BOs are interested in new HRD modalities: The current HR policies and/or training plans (when available) are mainly geared towards individual, long-term trainings such as masters, post-graduates and Phd studies and in some cases also only focused on filling staffing gaps (recruitment). The SDHR approach, i.e. definition of the training modalities based on organisational needs, is relatively new to many BOs. Some organisation may be less open to modalities different from long-term upgrading of individual staff.

Organisational goals can be reached through skills development: The project assumes that the organisational needs can be brought back to specific skills gaps, which in turn can be translated into a training plan. In some cases, other (complimentary) factors will also be crucial to achieve the organisational goals.

Attractive salary: Salaries of staff in the public sector are often significantly lower than those for counterparts in the private sector. This may lead to situations where staff from BOs in the public sector are demotivated (or even take up other side jobs to collect sufficient income).

Good training providers are available: For the successful implementation of the trainings from the HRD plans, the quality of (mostly local) service providers is crucial. The landscape of training providers in Uganda is rather fragmented and many of the training providers have not worked with BTC before. The project will put strong procurement and quality assurance mechanisms in place to ensure quality (as much as possible).

Minimum conditions (resources) in place to benefit from increased skills: To allow staff to put the newly learnt skills in practice, resources such as equipment, materials and infrastructure need to be available. For some BOs, there are clear synergies with sector programmes here.

Effective bonding: To allow for a contribution at the outcome and impact level, it is assumed that the supported individuals remain within their BOs for at least some time after the training, even in case of short training. It may not be feasible however to establish a formal bonding agreement in the case of shorter courses nor is arranged in the National Training Policy.

Increased skills will improve organisational performance: This is a key assumption behind the approach of the SDHR project. If other conditions such as the availability of resources are not met, or if the organisation does not manage to retain its' staff after training, the outcome will not be fully achieved.

Strengthening organisations will improve their service delivery: If the organisation is making progress in the selected priority areas, this should ultimately lead to improved service delivery for clients of the different BOs.

b) Influencing factors/unexpected results

Capacity building of local service and training providers: The intervention will work together with consultants to assist the BOs in defining their organisational goals and HRD and training plans, and with training providers for the execution of HRD and training plans. Strong quality assurance mechanisms will be put in place for all providers. In addition, training providers will be required to conduct a follow-up session after the training to foster effective application of the learnings in the workplace. These efforts will improve the quality of the services and trainings provided (= unexpected result).

Training Committees are strengthened: STC's are set up as temporary structures, in line with the TFF (see contextual factor below). The project will train selected HR and/or management staff in defining HRD strategies and training plans. These individuals could eventually transfer this knowledge and experience in their role in one of the Training Committees, which can contribute to a more effective functioning of these Training Committees.

Staffing gaps resolved: Many of the BOs have important staffing gaps but no recruitment has taken place yet or recruitment has taken place but was unsuccessful due to lacks in the labour market. If BOs are severely understaffed, little improvements can be made in terms of their organisational performance and service delivery.

Collaboration with other interventions (by other Development Partners and BTC): Many BOs also receive support from other BTC interventions (including TTE, BTVET, PNFP, ICB, CDM) and/or from other Development Partners. The degree of coordination with internal and external partners contributes to the outcome and impact of the project.

c) Other contextual factors

Job profiles: Job descriptions exist (Ministry of Public Service (2011) - Job Descriptions and Specifications for Jobs in Local Governments) for most of the functions. Only for a limited number of functions no job profile is available. To identify the target group who will benefit from certain trainings, it would be important to take into account the job profiles for their functions.

Staff performance appraisal: Although the staff appraisals will not be actively used by the SDHR project (due to strict confidentiality of these documents), the project found that the

appraisal documents (Ministry of Public Service – Public Standard Orders - Staff Performance Appraisal Form for the Public Service) are widely known by the BOs and the project will promote their use within BOs as an internal mechanisms to follow-up the contributions of training at individual level⁸. It is however not within the strategy of the project to support the implementation of the existing staff appraisal mechanisms according to Public Service policies.

Existence of Training Committees (at Ministry, Departmental and Local Government level): Training Committees exist within the different sectors and at different governmental levels. Strictly speaking, their mandate includes the coordination and approval of training. Due to the current functioning and composition of these committees (staff from BOs), there was a need to establish separate Sectorial Technical Committees with members who are less directly involved in the activities of individual BOs (accountability). On the long term, it may be desirable to strengthen the existing Training Committee structures so they can gradually take over the role taken up by the STC's.

Budget for CPD and resources: In a context of declining budgets for both the education and health sector, this budget is not guaranteed. Sufficient budgets for Continuous Professional Development beyond the SDHR Project and other resources to operate the different departments or facilities will be crucial to sustain improved provision of Training and Continuous Professional Development.

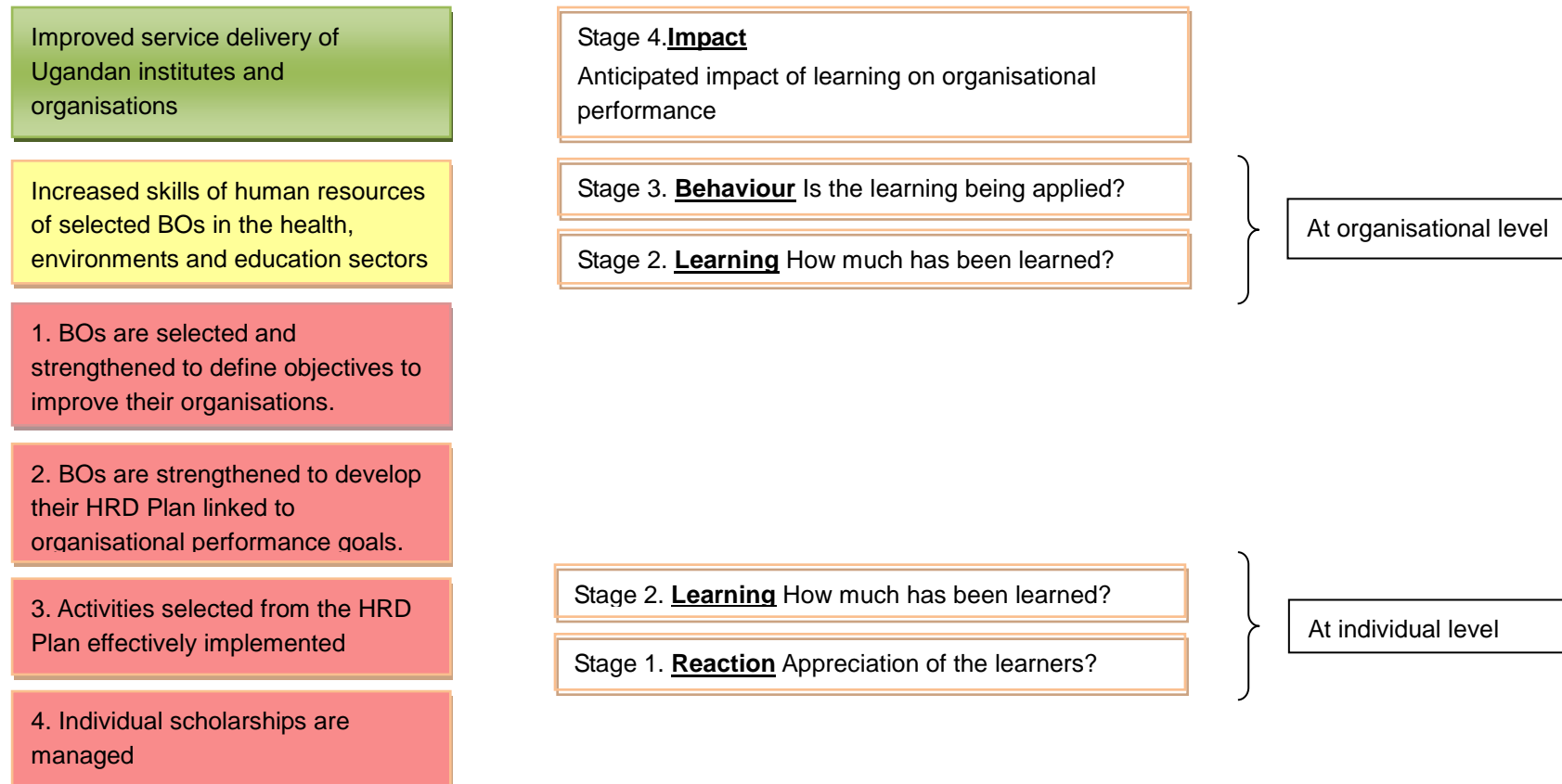
Sector Goals and Service Delivery Standards: The performance and service delivery of BOs will need to be in line with the Sector Goals and with the BO Service Delivery Standards. While the Service Delivery Standards are formulated at a rather general level (per type of organisation and not for each substructure of an organisation), the project will ensure that the HRD and training plans are in line with these Standards.

Some of the aspects covered above could evolve into risks. Where relevant, related risks were included in the risk matrix.

⁸ The existing staff appraisal forms contain an action plan for the individual employee. It will be up to the line manager or HR to ensure that the follow-up of the training is included in those action plans.

3.3 The Monitoring Matrix

This chapter describes, per level, how the intervention will monitor its results. It proposes a realistic and operational monitoring system⁹. The measurement follows the different stages in Kirkpatrick's model about the evaluation of learning initiatives.



⁹ Whether the indicator is qualitative or quantitative, the monitoring matrix should always be filled in as much as possible.

3.3.1. Impact level

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
IMPACT: Improved service delivery of Ugandan institutes and organisations												
1. Documented evidence of improved service delivery	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	BO reporting event	End of each support cycle	-	BOs	PM
2. Increase of the development level in the organisational assessment	2,2	2,8	-	-	-	-	Pre-defined scoring scales	Excel analysis of org. assessment	End of each support cycle	-	BOs	PM

Explanation of indicators

At impact level, the team wants to keep track of the progress made in terms of a) organisational strengthening and b) the influence of the intervention on improved service delivery. To do so, a combination between a quantitative and a more qualitative approach was chosen.

The **organisational assessment** plays an important role in the whole application-selection-organisational strengthening process and is already part and parcel of the implementation process. This offers a unique, low-cost opportunity to collect quantitative data about how beneficiary organisations perceive their own evolution over time.

At the same time, this quantitative information will also have its limitations (inherent to a self-assessment, see detailed indicator form in Annex 4.3) and does not necessarily results in “improved service delivery”. This is why **evidence about improved service delivery** will be collected separately. The approach used for this will be qualitative in nature. Information will be collected during a collective learning and reporting event with all BOs at the end of each support cycle.

In addition, the team is aware of the existence of Service Delivery Standards in the respective sectors and is looking for ways to align with this mechanism of service delivery measurement.

Comparison with TFF

Although it is not uncommon to exclude impact measurement from the regular monitoring system (indicators at this level are not compulsory for BTC, see MoRe manual), the current set-up of the intervention allows for impact measurement. The organisational self-assessment process is a crucial element in the whole strategy and offers the opportunity to collect organisational assessment scores. The self-assessment process measures organisational performance through a number of key performance indicators and will therefore be the operational “translation” of the impact indicator mentioned in the TFF: *“Improved service delivery of selected Beneficiary Institutes measured by Performance Reports of BIs”*.

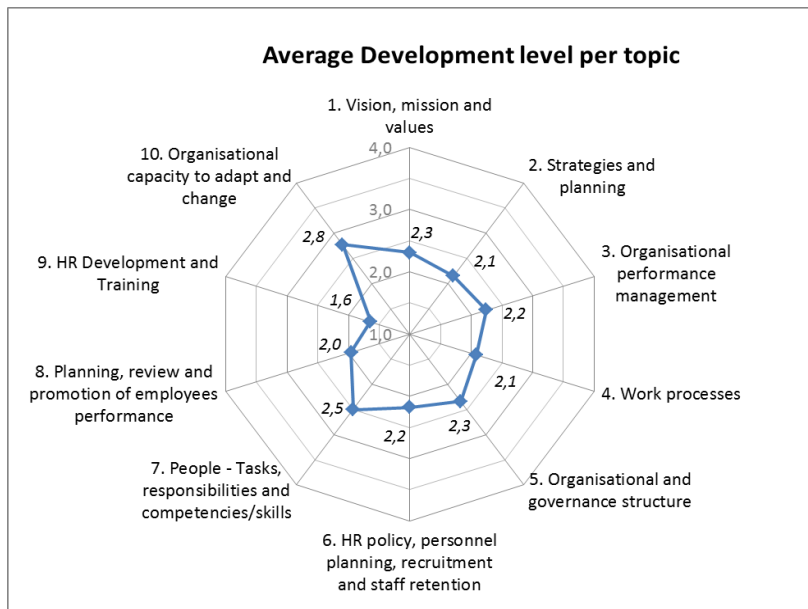
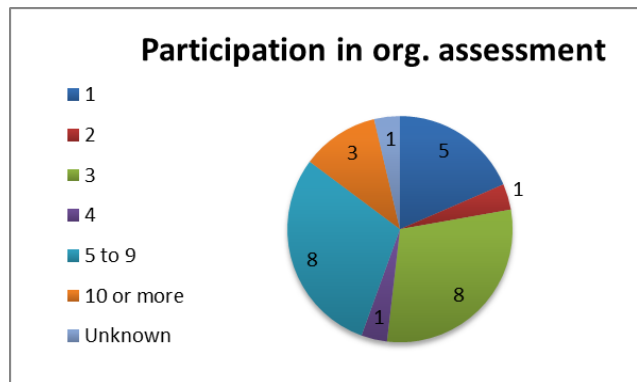
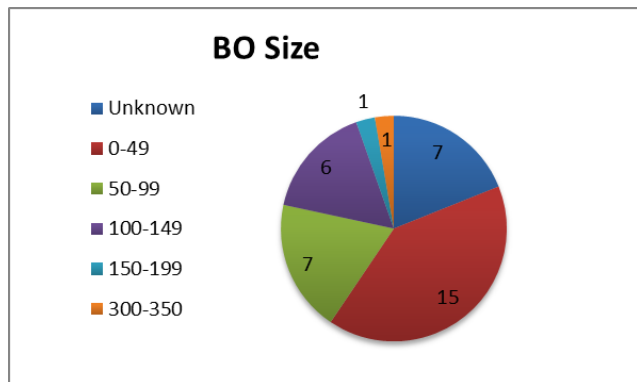
The second impact indicator in the TFF *“Improved service delivery of selected BI measured by the % of clients reporting improved service delivery of BI”* is considered to be very difficult to measure. This would require sampling in each client group of the 44 beneficiary organisations and would imply very labour-intensive research. At the same time, this level of satisfaction could be influenced by multiple other factors than the increased skills of human resources. The relevance of the indicator was therefore also considered to be too limited to justify such a labour-intensive data collection process.

Nevertheless, the link with the “improved service delivery” should not be lost. As an alternative, a more qualitative approach was selected in the form of the collection of documented evidence of this improved service delivery (examples, case-descriptions, etc).

Background analysis of organisational assessment data

The baseline value for the organisational assessment indicator is mentioned in the matrix above. This is an aggregated ‘development level’ for all domains included in the self-assessment. The detailed information provided by each organisation was taken into consideration during the appraisal of individual applications. What follows is a more comprehensive analysis of these self-assessment data provided by the BO’s.

In total, 37 organisations handed in an application for support by the SDHR project. Out of these applications, 34 properly filled the organisational assessment¹⁰. While this sample is too small to calculate the statistical significance of the findings, some interesting observations can still be made. A large part of BOs have less than 50 employees. The participation of staff in the assessment was generally high (with a few exceptions).



A general finding is that most organisations are scoring themselves very weak in the area of HRD Development and Training. At Outcome level, we will discuss what this means in terms of the existing HRD knowledge and practices within BOs. At the same time, many of the organisations consider themselves rather flexible and adaptive to change.

¹⁰ The organisations that had to be excluded for the analysis due to lack of clear data include NTC Unyama, Kyambogo University and Fort Portal Regional Referral Hospital.

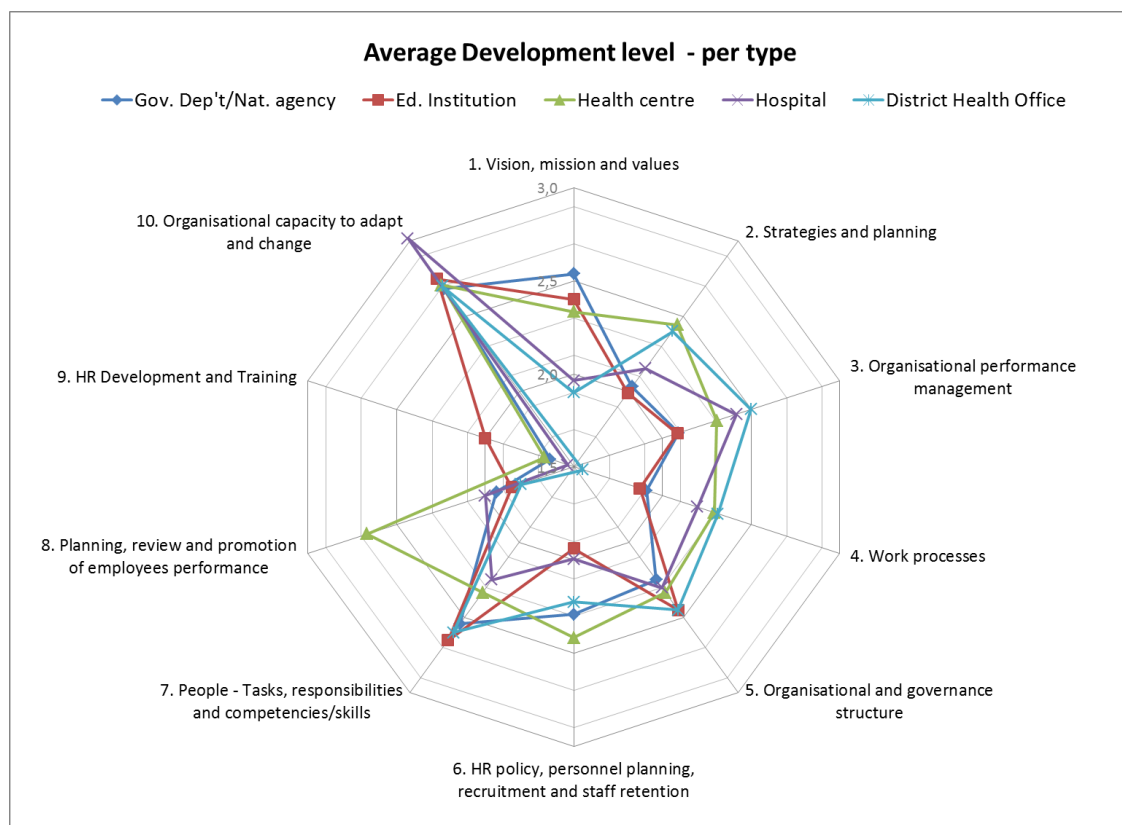
3 observations are important:

1. The **Average scores per Development level per topic seem to suggest an honest scoring as they suggest margin for improvement.** International research on quality assurance confirms that most organisations will score their development per topic moderate (in the instrument used that would mean a level 2 or level 3).
2. Although scoring seems to give an honest picture the scoring in the self-assessment was to be justified by back-up documents from the organisations. We observe a **rather weak presentation of documentation in the environment and education sector** (respectively an average of 39% and 31% of required documents were delivered) and a **weak presentation of documents in the health sector** (only an average of 18% of required documents were delivered). There are 2 possible interpretations of this data. Or the documentation is not present and that would mean scoring on the development levels in quite a number of case is still too high. Or documentation is available but not presented. The project will use its support processes (were actual field visits are conducted) to further verify on the existing documentation. The project also observed that organisations with a higher percentage of required documents delivered, usually have a stronger application.
3. The **relative higher score on the topic “organisational capacity to adapt and change” suggest a certain social desirability bias,** especially because there is not significant difference between organisations that delivered a strong application and organisations that delivered a weak application. An external assessment of the capacity to adapt and change will be planned for in the support processes for organisation with a weak application.

Among the Beneficiary Organisations to be targeted by the SDHR project, there are very different types of organisations¹¹. Some are very large and centrally located, while others are very small and located in hard-to-reach areas. Generally speaking, the following broad categories can be distinguished:

- *Central Government Departments or large National Agencies*
- *Educational institutions*
- *Health centres (HMDC was excluded for this category as it has a very distinct mandate)*
- *Hospitals (excl. large referral Hospitals)*
- *District Health Offices*

¹¹ See annex 4.3 for categorisation details



The different BO types seem to have different strengths and weaknesses:

- Hospitals and district health offices score remarkably lower on their vision, mission and values than the other BO types. This might be because all refer to the national vision and mission without any contextualisation of it to their respective context.
- Educational institutions and government departments/agencies in turn give lower scores in the areas of strategies and planning, organisational performance management and work processes. A better situation is observed in the health sector (level of hospitals and DHOs) and can be related to the sector efforts in terms of standardising its performance management and reporting processes (HMIS).

- Both educational institutions and hospitals score very low on HR policy, personnel planning, recruitment and staff retention. Understaffing, motivation and retention issues were also frequently raised, especially in the applications from hospitals and Health centres. This might reflect the reality they face in terms of not having (management) control in those areas.
- Not without standing raising staffing and motivation issues, health centres give themselves high scores on HR policy, planning, recruitment and retention. They also score remarkably high for processes related to employee performance. No feasible explanation is available at this stage, further exploration of this scoring is needed.
- In the educational institutions, scores are higher for HR Development and Training. This situation might be related to the fact that some of the educational institutions who handed in their application have received support in this area from the TTE-project.
- While the capacity to adapt and change is perceived to be high everywhere, the hospitals perceive themselves as the most flexible and adaptive to change. This higher score might reflect a reality where an adaptive and flexible work environment is very much present.

Needs of Beneficiary Organisations

As part of their application, each of the Beneficiary Organisations identified 3 to 5 areas for improvement. When defining or improving existing HRD and training Plans, the SDHR project will ensure that these plans are clearly linked to these organisational priorities. Note that for those organisations where the quality of the identified improvement areas is low, support will be given to fine-tune them first before starting the HRD and training planning process.

A general review of the initial improvement areas (submitted in the applications) gives a first insight in the different priorities and improvement needs of Beneficiary Organisations. Generally, these needs include a mix of both technical needs related to organisation-specific work processes and more general managerial needs.

Topic	Number of BO's¹²	Needs and priorities
Vision, mission and values	4	all improvement areas refer to clarifications needed
Strategies and planning	8	3 strategic planning, 2 project planning <i>(7 of 8 in education)</i>
Organisational performance management	22	almost all on planning and M&E <i>(14 out of 17 from health sector)</i>
Work processes	23	specific per organisation - technical topics
Organisational and governance structure	8	Leadership and governance
HR policy, personnel planning, recruitment and staff retention	8	5 general HRM, 2 HR planning
People – Tasks, responsibilities and competencies / skills	1	job profiling
Planning, review and promotion of employees' performance	8	5 motivation <i>(6 of 8 in the health sector)</i>
HR Development and Training	4	HRD planning <i>(3 of 4 in education)</i>
Organisational capacity to adapt and change	3	2 change management, 1 QI
Other	20	9 ICT, 7 asset & record, 6 finance, 4 communication <i>(12 of 20 in education)</i>

¹² BO's were counted if one or more of their improvement areas linked to the topics in the left column. Some BO's identified more than one improvement areas related to one topic, especially in the case of more technical work processes.

Observations:

- There is a remarkable need for support in the area of planning and organisational performance management, especially in the health sector. This might refer to additional support that is needed with regard to the HMIS.
- The need for improvements in the area of strategic planning was articulated mostly by organisations from the education sector. As most organisations in that sector have a strategic plan, this needs likely refer to challenges related to operationalising the strategic plan.
- Financial and ICT needs (category 'Other') are also very present in the education sector.
- In line with the findings from the organisational assessment above, the health sector strongly emphasises the importance of support in the area of staff motivation and retention. This finding likely reflects also the reality of staffing gaps in quite a number of institutions. These gaps clearly stretch the workforce to their limits and beyond.

3.3.2. Outcome level

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measure -ments	Respon- sible data collection	Respon- sible consoli- dation
OUTCOME: Increased skills of human resources of selected BOs in the health, environments and education sectors												
Satisfaction level of BOs (HR and Management) regarding: > Skills* gaps filled (in reference to improved HRD Plans)	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	Scoring scales	BO Satisfaction questionnaire	End of support cycle		BO	PM
Satisfaction level of BOs (HR and Management) regarding: > Contribution of trainings with regard to 3-5 improvement areas	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	Scoring scales	BO Satisfaction questionnaire	End of support cycle		BO	PM

* *Different levels to be covered here: knowledge, skills and attitude*

Explanation of indicators and comparison with TFF

The above-mentioned indicators were formulated during the baseline process and will replace the two indicators formulated in the TFF:

1. Number of staff (sex-disaggregated) of BI in the priority sectors whose performance in their organisation is improved
2. Number of BI in the priority sectors which started with the effective rolling-out of their HR capacity development plan.

The information for the first indicator from the TFF was considered difficult to collect, since performance appraisals are (strictly) confidential. HR staff and management will nevertheless be asked to reflect on their level of satisfaction in terms on the skills gaps filled at organisational level. The second indicator will already be monitored at the output level (output 3). At the outcome level, the link between skills gaps addressed and organisational improvement remains important management information for BO HR staff and BO management as well as for the team. Therefore, this will also be an important element in the BO satisfaction survey. The two revised indicators together should be seen as an operationalization of the original indicator *'effective rolling-out of HR capacity development plan'*.

The revised indicators capture the different steps in the change process. The approach has a logical sequence in line with the implementation strategy. It focuses on management information regarding what works and what doesn't. Alignment with sector monitoring (based on service delivery standards) is sought, but is most relevant at impact level.

The outcome level indicators will be measured through a satisfaction questionnaire to be filled by each BO (see M&E Toolkit). This reflection exercise will be part of the end of support cycle reflection to be organised by the project. A baseline value is therefore not available at this point. We will carefully organise this process to obtain high quality and sufficiently reliable data. The results will be aggregated to come up with the value for the two indicators.

Background analysis – current skills level and gaps

A separate needs assessment was conducted by Adroit Consulting in July 2013, before the start of the project (see 2.2). The Needs Assessment gave some very generic insights in the type of difficulties, challenges encountered by a sample of 23 organisations in the education, health and environment sectors related to training and capacity building. 7 of the 23 still belong to the actual list of selected beneficiary organisations. Consultative meetings featuring Key Informants Interviews and Self-Administered Questionnaires were conducted on the beneficiary institutions' respondents list, including institutions involved in delivering similar scholarship undertakings to provide learning points

In terms of needs the study confirmed a **wide range of training needs**. In the education sector needs range from upgrading skills to management and leadership needs. In the health sector a more sectoral emphasis was made related to staffing gaps and competencies that are in short supply. For the environment sector needs are focused on the key areas as identified in their sector capacity development sector strategy 2012-2017. It is evident that the information collected with regard to the needs of the 7 BOs that were assessed in the Needs Assessment by Adroit Consulting and are also selected in the framework of the SDHR-project, will be used further at the stage of HRD and Training Planning.

More important than this confirmation of the existence of a wide range of training needs, a conclusion that could be expected, are the recommendations made by this study. A summary of recommendations that remain relevant are:

- Take into consideration a focus on critical competencies that are in short supply
- Institute technical assistance to the Beneficiary Institutions to review their training and capacity needs assessments
- Training support initiative should have a binding framework with a comprehensive appraisal process to ensure that the training support extended is relevant and will make significant contribution to the staff on the one hand and the nominating organisation, sector and the NDP priorities
- Avoid training staff who do not return to their institutions
- Enhance effectiveness through the use of MoUs with the institutions.

Based on the **application documents**, it becomes apparent that BOs are not systematically identifying their skills gaps and training needs at the moment. Only 30% reports in the application that they have an HRD and training plan in place. Out of these organisations, only 14% (5 out of 37 organisations!) were able to submit their actual HRD and training plan together with the application.

A general review of these HRD plans and other information provided in the applications led to the following conclusions:

- **Very few identified organisations have a strategic plan or a business plan.** This implies that there very few organisations that have clearly defined organisational needs (the basis for a good HRD and training needs assessment).
- **Training needs assessments and plans are barely available and when available they are not clearly linked to performance appraisal, job profiles, or organisational needs.** Only some kind of sector link can be observed. Also costing of training has not been well developed, and the suggested training is not sufficiently embedded in a development trajectory within the organisation. These elements imply serious quality risks in terms of guaranteeing that training will serve performance strengthening.

Due to the low number of organisations who submitted their HRD plan and the above limitations of all plans, the quality of HRD plans was not taken as a selection criterion during the appraisal of applications. The quality of the HRD plans does however remain relevant to plan and target the different phases of support.

Finally, the available information does not allow capturing the current skills levels and gaps in a systematic, detailed way. Given the diversity among BOs (sector, size ...), the type of skills required will obviously be very different between organisations. As a consequence, we opted for a generic satisfaction questionnaire to systematically track the outcome of the intervention as a whole. This generic approach offers an important reflection and learning opportunity for BOs and project staff and it is very cost-effective.

3.3.3. Output level

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
OUTPUT 1: Effective selection of BOs and effective appraisal of applications												
1.1 Selection, application and appraisal methodology (incl. tools) in place and regularly updated.	Not in place	Meth. in place and updated per call	Start	Updated	Updated		/	Project files CCT Minutes	Yearly		PM	PM
1.2 Number of preselected BOs reviewed and updated	1237	44	20	20	At least 44	At least 44	Nr of preselected BO's	PS - nomination letters	Yearly		PM	PM
1.3 Number of applications received per call	0	44 for all calls	20	-	40	-	Nr of applications	Registration form call	Yearly		PM	PM
1.4 STCs for each sector in place and functioning in line with quality criteria	Not in place	Three STC's operational	3	3	3	3	Nr of appraisal meetings.	STC minutes	Yearly		PM	PM
1.5 Number of BOs that have fully owned goals for org. improvement, meeting quality criteria.	0	44	10	20	44	44	Nr of BO's	Appraisal documents STC minutes	Yearly		BO	PM
1.6 Level of satisfaction and confidence of	n.a.	80%	-	60%	-	80%	See indicator sheet	Satisfaction & confidence survey	At the end of each support process		BO	PM

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
Mgmt and HRD staff related to defining org. dev. needs.												

The three indicators proposed in the TFF were maintained, although slightly reformulated (in the indicators 1.1, 1.2 and 1.4). The output has been broadened to focus on the overall application process instead of the well-functioning of the STCs only.

To provide a comprehensive overview of the output, we are capturing basic information with regard to the selection process itself and the number of applications per call (1.1 - 1.4). The application process further includes a component of organisational strengthening through the organisational assessment and the formulation of organisational improvement goals (1.5). HR staff and management reactions to this process are also captured (1.6).

For some of these indicators, baseline and target values are indicated. For the other indicators these values are not applicable because information will be collected at a later stage (e.g. for indicator 1.6: reactions to the support received cannot be measured before the support has actually been provided).

The time required to collect information regarding indicators 1.1-1.5 is limited and data collection is embedded in the regular working processes. The satisfaction survey foreseen for indicator 1.6 is additional and requires more work. However, this seems justified considering the importance of this information and the need for reflection at BO level as well as at intervention level.

Remark: the number of applications received during the first call (indicator 1.3) was 37, which is considerably more than the initial target value for year 1.

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measure - ment	Source of verification	Frequency of data collection	Start - end measure -ments	Respon- sible data collection	Respon- sible consoli- dation
OUTPUT 2: Selected BOs are strengthened to develop their HR Development Plan linked to organizational performance												
2.1 Guidelines, incl. cross-cutting aspects, for HRD plan developed and approved by CCT	Not in place	In place by End 2015	-	In place	-	-	/	Project files	Yearly		PM	PM
2.2 Number of BOs that have a fully-owned HR capacity development plan	n.a.	44	10	20	44	44	Nr of BO's	Registration form, STC minutes	Yearly		PM	PM
2.3 STCs for each sector assume their role of selection of HRD proposals	0	3 STC's selecting HRD proposals	0	3	3	3	Nr of STC's	STC minutes	Yearly		PM	PM
2.4 Number of HRD Plans meeting quality criteria, incl. cross-cutting aspects, as indicated in the guidelines	0	44	10	20	44	44	Nr of HRD plans	STC minutes	Yearly		PM	PM
2.5 Level of satisfaction and confidence of Mgmt and HRD staff related to HRD planning process	n.a.	80%	-	60%	-	80%	See indicator sheet	Satisfaction & confidence survey	At the end of each support process		BO	PM

The three indicators proposed in the TFF were reformulated and replaced by the indicators 2.1, 2.2 and 2.4, maintaining the ambition to monitor if methods/tools are in place (2.1), if BOs have an HRD plan (2.2) and if these plans are in line with quality criteria, including cross-cutting issues (2.4). The monitoring of this output follows the same logic as the monitoring of output 1. Similarly, the well-functioning of the STCs towards the selection of HRD proposals (2.3), the number of BO HRD plans meeting pre-defined quality criteria (2.4) and the reaction regarding this step in the process of HR staff and management will be monitored (2.5).

For some of these indicators baseline and target values are indicated, for the other indicators these values are not applicable. For indicator 2.2 we cannot say to what extent the current capacity development plans are fully owned, but the low submission of HRD plans and the quality issues with those plans (see outcome level) indicate that this number is probably very low, if not 0. For indicator 2.5: reactions to the HRD planning support received cannot be measured before this activity has been carried out.

The time required to collect information regarding indicators 2.1-2.4 is limited and data collection is embedded in the regular working processes. The satisfaction survey foreseen for indicator 2.5 is additional and requires more work, but the data collection method is in line with proposed practices under output 1 and 3 and data will be collected at the same time through an integrated questionnaire. At the same time, this additional

work seems justified considering the importance of this information and the need for reflection at BO level as well as at intervention level.

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measure - ment	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
OUTPUT 3: Activities selected from the HRD Plan effectively implemented												
3.1 Data bank of service providers, and relevant guidelines for training provision in place (incl. cross-cutting aspects).	Not in place	Full databank in place	Not in place	In place	In place	In place	/	Project files	Yearly		PM	
3.2 % of the selected activities from the HRD plans effectively implemented	n.a.	75%?	n.a.	30%	50%	75%	%	Project files	Semester		BOs	Training manager
3.3 Number of trainees (men, women)	0	tbd	tbd	tbd	tbd	tbd	Numbers	TSP reports	Semester		Training Service Providers	Training manager
3.4 Number of training activities organized addressing cross-cutting aspects	0	40 (at least one per BO)	0	10	20	40	Nr of training activities	TSP reports	Semester		Training Service Providers	Training manager
3.5 % of trainings providing follow-up sessions	n.a.	80%	0	50%	70%	80%	% of trainings	TSP reports	Semester		Training Service Providers	Training manager
3.6 Level of satisfaction of participants with training	n.a.	3.25	2.7	3.0	3.25	3.25	Scale from 1-4	Evaluations TSP reports	Semester		Training Service Providers	Training manager
3.7 Level of satisfaction and confidence of Mgmt and HRD staff related to HRD implementation	n.a.	80%	-	60%	-	80%	see indicator sheet	Satisfaction & confidence survey	At the end of each support process		BO	PM

The third output was reformulated since the original formulation was very close to the formulation of the outcome. The new output '*Activities selected from the HRD Plan effectively implemented*' focuses on the roll-out of the HRD plans and the different learning events organised with the help of training providers. The indicators are selected accordingly, while the original intention to monitor satisfaction of participants as well as to keep track of cross-cutting issues is maintained. Satisfaction of HRD and management staff with the implementation of HRD strategies and training plans is also monitored (3.7).

Note that the indicator 3.5, '*% of trainings providing follow-up sessions*' refers to the organisation of follow-up sessions by training providers. The project will stimulate this practice because the sessions serve as a 'refresher' and stimulate the transfer of newly learnt skills to the workplace.

The need for follow-up has widely been described in academic studies related to adult learning¹³.

For some of these indicators baseline and target values are indicated, for the other indicators these values are not applicable.

The time required to collect information regarding indicators 3.1-3.6 is limited and data collection is embedded in the regular working processes. Particularly indicators 3.3-3.6 are part and parcel of normal implementation of learning events. End of training evaluation as well as training reports are normal practice (see M&E Toolkit) and with proper formatting aggregation of information at the intervention level should be manageable. The satisfaction survey foreseen for indicator 3.7 is additional and requires more work, but is also in line with proposed practices under output 2 and 1.

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
OUTPUT 4: Individual scholarships are managed												
4.1 Number of on-going scholarships finalised as programmed	0 (198 ongoing)	195 (4 still ongoing)	102	72	13	8	Number of scholarships finalised	List from DAMINO	Semester		Scholarship Officer	Scholarship Officer
4.2 Number of obtained academic qualifications	n.a.	180 scholars	-	65	-	180	Number of scholars	Tracer Study	Every 2 years		Service Provider	Scholarship Officer
4.3 Number of scholars returned to the organisations after their studies	n.a.	160	-	55	-	160	Number of scholars	Tracer Study	Every 2 years		Service Provider	Scholarship Officer
4.4 Number of scholars working in their field of study	n.a.	160	-	55	-	160	Number of scholars	Tracer Study	Every 2 years		Service Provider	Scholarship Officer
4.5 Number of events for members organised	0	4 (1/year)	1	2	3	4	Number of events	Project files	Quarterly		Scholarship Officer	Scholarship Officer

¹³ See for example: Perkins, David N. and Salomon, Gavriel (September 2, 1992). Transfer of Learning: Contribution to the International Encyclopedia of Education, Second Edition Oxford, England: Pergamon Press. [Online]. Accessed 2/27/02: <http://learnweb.harvard.edu/alps/thinking/docs/traencyn.htm>. / Salomon, G., & Perkins, D. (1988, September). Teaching for transfer. Educational Leadership, 22-32. / Transfer of Learning: Planning Workplace Education Programs [Online]. Accessed 4/8/01: <http://www.nald.ca/nls/inpub/transfer/English/page01.htm>. / Bloom, Benjamin [Online]. Accessed 2/24/02: <http://www.bena.com/ewinters/Bloom.html>. / Learning Theories [Online]. Accessed 11/28/00: <http://www.educationau.edu.au/archives/cp/04.htm>.

Results / Indicators	Baseline value	Final target value	Target values year 1	Target values year 2	Target values year 3	Target values year 4	Unit of measurement	Source of verification	Frequency of data collection	Start - end measurements	Responsible data collection	Responsible consolidation
4.6 On-line survey on interest and needs of (potential) members completed	Not done	Survey conducted	Conduct 1 st round	-	Conduct 2 nd round	-	Survey conducted and analysed	Project files	Every 2 years		Service Provider	Scholarship Officer

Two original indicators from the TFF were maintained (number of individual scholarships and initiatives for the alumni network). The other indicator, *“level of integration of skills reinforced in the framework of this in intervention, in the Beneficiary Organization of the scholars”* was dropped. The focus on integration of skills and the contribution of scholars within their organisation is explicitly part of the current strategy, but this aspect was addressed much less for the earlier individual scholarships. Moreover, the organisations these scholars belong to are also not necessarily the same as the Beneficiary Organisations targeted by the SDHR project. The intervention will however still monitor completion of the scholars’ education (academic qualification), return to the organizations they are bonded too and whether they are working in the field of study. This information will be collected through a tracer study and will give an indication about the contributions of the individual scholarships.

For most of these indicators baseline and target values are indicated, for the other indicators these values are not applicable.

The time required to collect information regarding indicators 4.1 and 4.5 is limited and data collection is embedded in the regular working processes. For this output, a tracer study is foreseen to collect information about the individual scholarships (indicator 4.2 to 4.4). Tracing the different scholars will be time-consuming, but once in contact, interviews can be rather short and will probably provide the required information. A draft format has already been developed for this tracer study (see M&E Toolkit). For the online survey of current and potential members of the alumni network (4.6), an outline was also drafted (see M&E Toolkit).

3.4 Risk Management Plan

This chapter describes, per level, how the intervention will manage its risks. It proposes a realistic and operational risk management plan.

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
IMPACT: Other structural problems (than skills gaps) hamper the development of Beneficiary Organisations and their service delivery. These structural problems are outside the sphere of control of the project.	TFF (2014) - adapted after baseline (2015)	DEV	High	Medium	High Risk	The selection process must target organisations that have a minimum access to structural input/support (fe through government, other projects of BTC or other Development Partners).	PSC	Permanent
						Application processes must guarantee that eventual structural problems are identified so the STC can decide on not proceeding with the organisation.	STC	Permanent
						In case the structural problem is a lack of staffing, a long term training (classic scholarship) combined with bonding might be considered.	STC	Permanent
						Permanent coordination with other BTC projects and other Development Partners. Where needed synergy is to be established.	PCT	Permanent
						Coordination with other actors that focus on sustainable improvements of HRD in organisations. Where needed synergy is to be established.	PCT	Permanent
IMPACT: Managers of Beneficiary Organisations are not convinced of the return on investment of investing in the development of their staff.	Baseline (2015)	DEV	Medium	Medium	Medium Risk	Involve (top) management in the application and training processes (output level)	PCT	Permanent
						Involve (top) management in the monitoring and evaluation of training processes (output level)	PCT	Permanent
OUTCOME: Increased skills of HR do not lead automatically to improvements in the	TFF (2014) - adapted after baseline (2015)	DEV	Medium	Medium	Medium Risk	In the processes retention of personnel is verified. If high staff turnover is a fact, the STC has to decide on the relevance and feasibility of investment in HRD.	STC	Permanent

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
organisational performance because other conditions such as the availability of resources (such as equipment, materials and infrastructure) are not met, or because the organisation is not able to retain its trained staff.						In the process of defining the areas of organisational improvement, the relevance of an HRD strategy and the necessary conditions for the success for a HRD strategy are verified. If the conditions cannot be met, the STC has to decide on the relevance and feasibility of investment in HRD.	STC	Permanent
						A bonding system is put in place for long term training (as foreseen in the national training policy)	PCT	Permanent
						Permanent coordination with other BTC projects and other Development Partners. Where needed synergy is to be established	PCT / RESREP	Permanent
						Coordination with other actors that focus on sustainable improvements of HRD in organisations. Where needed synergy is to be established	PCT	Permanent
OUTCOME: Employees of the Beneficiary Organisation do not transfer the acquired skills to the workplace.	Baseline (May 2015)	DEV	Medium	Medium	Medium Risk	Training will be developed as training trajectories. In such a trajectory there is a provision for a coaching period after every training.	PCT	Permanent
						As a HR-way of partnering with the organizations, specific skills and behaviours that target participants need to demonstrate after the training will be identified. These expectations will be made clear with the training providers and they will be asked to customize their training designs to meet these expectations.	PCT	Permanent
						HR and/or Training Providers shall give a thorough briefing to concerned managers about the training so managers can better appreciate the content of the course and how they can support the demonstration of desired behaviours and performance.	PCT	Permanent

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
						Each participant is required to complete and submit to their managers a training completion report that we shall call a "Forward Agenda." This report contains a participant's commitment to identify an opportunity to apply the learning at work, and then later report the result to the manager. It is the responsibility of the manager to demand the completion of the said report to motivate the participants to demonstrate the desired behaviours	PCT	Permanent
						A specific M&E framework to follow up the transfer of learning to the workplace will be developed.	PCT	May-15
OUTPUT 1: The selected BO do not correspond with the priorities of the sector	TFF (2014)	OPS	Low	Low	Low Risk	BI will be selected based on criteria, jointly developed by MoH, MoESTS, MoWE, MoPS and BTC based on previous experiences and lessons learned.	PC	Feb-15
OUTPUT 1: (Top) management within Beneficiary Organisations may not be motivated to make improvements in their organisations and/ or are not sufficiently capable to complete the application documents up to a reasonable standard.	TFF (2014) - reformulated in Baseline (May 2015)	OPS	Medium	Medium	Medium Risk	For eventual lack of motivation, the project counts on a strategy of involving management at all stages of the project	PC	Permanent
						For eventual intentional maintaining of focus on individual needs, the application process for BI limits to a certain point the focus on only individual needs.	PCT	May-15
						For not understanding or not capable to complete the application the project provides specific support services. Understanding and experience with the HR capacity development approach are not taken as a condition, rather the project sees it also as capacity development to strengthen the understanding and experience with the HR capacity development approach.	PCT	Aug-15
						Specific training for managers	PCT	Oct-15
OUTPUT 1: The needs put forward by BO have only limited impact on their performance.	TFF (2014)	DEV	Medium	Medium	Medium Risk	Application process and instruments designed to ensure link with organisational change/improvement.	PCT	May-15

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
OUTPUT 1: STC members are to be capable and committed to appraise technical as well as organisational aspects of BO's.	Baseline (May 2015)	OPS	Medium	Medium	Medium Risk	For capacity gaps, training can be foreseen.	PCT	Permanent
						For commitment, processes are designed to facilitate time-investment. Where needed other arrangements will be foreseen.	PCT	Permanent
OUTPUT 1: The project coordinator has to prepare the selection of BO and judge the applications of the BO and can therefore be in a difficult position.	TFF (2014) - adapted after baseline (2015)	OPS	Low	Low	Low Risk	The selection of BO is done by the line ministries and confirmed by the PSC.	PSC	Feb-15
						The appraisal of the applications of BO is done by STCs where the PC is only one member. Decision are taken in consensus and validated by the PS. The STC is preferably also not chaired by the PC.	STC	Permanent
OUTPUT 1: The provision for delivering good quality organisational development services is limited	Baseline (May 2015)	OPS	Low	High	Medium Risk	As the capacity of the project team is limited, additional contracting of a service provider is needed for organisational development services to beneficiary organisations. To guarantee quality tender follows a negotiated procedure and the tender was broadly published.	PCT	Jul-15
OUTPUT 2: Beneficiary organisations are not interested in new HRD and training modalities and prefer long-term training for improving personal qualifications.	TFF (2014)	OPS	Low	Low	Low Risk			
OUTPUT 2: STC members are to be capable and committed to appraise HRD and training plans of BO's.	Baseline (May 2015)	OPS	Medium	Medium	Medium Risk	For capacity gaps, training can be foreseen.	PCT	Permanent
						For commitment, processes are designed to facilitate time-investment. Where needed other arrangements will be foreseen.	PCT	Permanent
OUTPUT 2: The project coordinator has to appraise HRD and training planning and can therefore be in a difficult position during the appraisal process.	TFF (2014) - adapted after baseline (2015)	OPS	Low	Low	Low Risk	The appraisal of the training plans of BOs is done by STCs where the PC is only one member. Decision are taken in consensus. The STC is preferably also not chaired by the PC.	STC	Permanent

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
OUTPUT 2: The provision for delivering good quality HRD services is limited	Baseline (May 2015)	OPS	Low	High	Medium Risk	As the capacity of the project team is limited, additional contracting of a service provider is needed for HRD services to beneficiary organisations. To guarantee quality tender follows a negotiated procedure and the tender was broadly published.	PCT	Aug-15
OUTPUT 3: Low quality of trainings as the training capacity of local training providers is limited and for some trainings no providers are available in Uganda.	TFF (2014)	OPS	Medium	Medium	Medium Risk	A databank for training providers is to be developed. In the databank a system for quality control and feedback need to be build-in. Feedback can come from earlier clients of the providers or from the evaluation of trainings delivered in the project (as such creating a feedback loop between training evaluation and future procurement).	PC	Aug-15
						Very careful procurement of training and very deliberate choice for the HRD modality (does not have to be always training)	PCT	Sep-15
						All training provision is evaluated.	PCT	Permanent
						If low performance would appear to be a very big problem a training for trainers might be set-up.	PCT	Permanent
						If local provision of certain training is problematic, regional or international providers can be engaged.	PCT	Permanent
						Eventually CD support can be provided to training providers	STC	
OUTPUT 3: Using project funding for other purposes than intended (special attention to ensure that not too much budget goes into allowances)	TFF (2014)	FIN	Low	Low	Low Risk	In the information sessions for beneficiary organisations it has to be clearly motivated that the more is spent on allowances, less is spent on HRD.	PCT	May-15
						In the different support processes checks and balances should be built in to ensure proper project funding.	PCT	Permanent
OUTPUT 3: Overlap of training activities with activities of other DP	TFF (2014)	OPS	Low	Medium	Low Risk	The intervention will inform actively other DP involved in the sector and mechanisms for harmonization will be requested, where needed.	PC	Permanent
						HR departments of the ministries will be closely involved in the cross-check of activities.	STC	Permanent

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
OUTPUT 3: Overlap of training activities with activities of other interventions of Belgian cooperation	TFF (2014)	OPS	Low	Medium	Low Risk	The intervention will be in regular contact with other interventions via portfolio meetings and take an active role in informing and consulting the other interventions.	RESREP	Permanent
OUTPUT 3: There is a risk of an overflow of donor engagement (assistance and investment) for some organisations as compared to their absorption capacity	TFF (2014)	OPS	Medium	Medium	Medium Risk	The application process must guarantee that absorption capacity is taken into account to define tailor-made support. Where absorption capacity is limited support needs to be adapted.	PC	May-15
						Coordination with other Development Partners is to prevent overflow and/or to ensure feasible demand-driven support.	PC	Permanent
OUTPUT 3: The project coordinator has to prepare trainings and select training provider and can therefore be in a difficult position.	TFF (2014) - adapted after baseline (2015)	OPS	Low	Low	Low Risk	Training will be procured based on the outcomes of HRD planning support processes provided by consultants.	PCT	Permanent
OUTPUT 3: Staff of Beneficiary Organisations are not motivated to learn and improve their performance	Baseline (May 2015)	OPS	Low	Low	Low Risk	The project commits itself to strive for equal access and maximal opportunities of all BO staff.	PCT	Permanent
OUTPUT 3: The results of training are difficult to measure	TFF (2014) - adapted after baseline (2015)	OPS	Low	Low	Low Risk	Specific attention is built in to focus training on its contribution to organisational development. By designing outcome and impact indicators linked to concrete performance gaps, the result of training can be assessed.	PCT	May-15
						Specific attention will be built in to design training trajectories to ensure transfer of skills to the workplace	PC	Jul-15
						A specific M&E framework for training will be developed.	PC	Jun-15
GENERAL: Limited ownership of MoH, MoESTS, MoWE as the intervention is not anchored in a specific ministry	TFF (2014)	OPS	Medium	Low	Low Risk	A Co-Coordination-Team ensures follow-up of the intervention and will guide interministerial coordination.	PSC	Mar-15
						Regular updates on progress per email send to CCT-members	PC	Permanent

Identification of risk or issue			Analysis of risk or issue			Deal with risk or issue		
Risk description	Period of identification	Category	Likelihood	Potential impact	Total	Action(s)	Resp.	Deadline
GENERAL: Staff members of MoH, MoESTS, MoWE and BTC designated to the intervention may not have sufficient time available for implementing the activities.	TFF (2014)	OPS	High	Medium	High Risk	Meetings, as well as requests for feedback will be organized in an efficient and effective way.	PCT	Permanent
						Through interventions by the PSC, the project intends to ensure commitment by engaging the right + not always same persons from the ministries participate in all project structures (CCT, STC, PSC)	PC	Permanent
GENERAL: Low interest of Uganda's partners for some components of the project	TFF (2014)	OPS	Low	Low	Low Risk	Design of the intervention in response to interest expressed by stakeholders met during the formulation mission	PSC	Permanent
						High level of flexibility of the intervention design allowing to adapt to evolving policies, needs and demand	PCT and STC	Permanent
						Application process allows for demonstrating interest (or not)	PCT	Permanent
						Alignment with existing HR development policies and support provided to facilitate their implementation	PCT	Permanent
						HR-departments of MoH, MoESTS, MoWE are selected as beneficiary, so the project has for them also a benefit and is not just extra work.	PSC	May-15

3.4 Operational planning

The TFF provided the following operational planning

Operational Planning (Original)				Year 1				2	3	4	5
Budget Code	Result / activities			Q1	Q2	Q3	Q4				
A 01	<i>Result 1 : The STC for each sector is strengthened to perform effectively their task</i>										
A 01 01	Establishment of STCs			X							
A 01 02	Support the STC in development of set of tools to select BI			X	X	X	X	X	X	X	X
A 01 03	STCs identify and select potential BIs					X		X	X	X	X
A 02	<i>Result 2 : Selected BIs are strengthened to develop and implement their HR development plan</i>										
A 02 01	Potential BI are informed and prepared to so submit their plan					X		X	X	X	X
A 02 02	Potential BIs are requested to submit their plans HR development plan					X		X	X	X	X
A 02 03	Support selected BIs to improve development plans						X	X	X	X	X
A 02 04	Submission of final training proposals by selected BIs						X	X	X	X	X
A 03	<i>Result 3 : The HR capacity of BI is effectively reinforced</i>										
A 03 01	STCs select the training activities and training providers						X	X	X	X	X
A 03 02	Support the establishment of training contracts							X	X	X	X
A 03 03	Support the BIs during the implementation of their M&E system							X	X	X	X
A 04	<i>Result 4 Individual scholarships are managed</i>										
A 04 01	Follow-up of individual scholarships in the Health sector			X	X	X	X	X	X		
A 04 02	Follow-up of individual scholarships in the Education sector			X	X	X	X	X	X		
A 04 03	Follow-up of individual scholarships in the Environment sector			X	X	X	X	X	X		

Given the changes proposed by this baseline the following operational planning is proposed:

Operational Planning (UPDATE)				Year 1 (2015)				Year 2 (2016)				3 (2017)	4 (2018)	5 (Until March 2019)
Budget Code	Result / activities			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4			
A 01	<i>Result 1: BOs are selected and strengthened to define objectives to improve their organisations.</i>													
A 01 01	Establishment of STCs			X										
A 01 02	Development of policy, strategy and set of tools			X	X			X				X	X	X
A 01 03	Identification and selection of BO by the line ministries			X								X	X	X
A 01 04	BO are requested and supported to submit their organisational development plans.				X	X	X	X	X	X	X	X	X	X
A 02	<i>Result 2: BOs are strengthened to develop their HRD Plan linked to organisational performance goals.</i>													
A 02 01	BO are informed and prepared to so submit their plan						X	X	X	X	X	X	X	X
A 02 02	BO are requested to submit their plans HR development plan							X	X	X	X	X	X	X
A 03	<i>Result 3 : Activities selected from the HRD Plan effectively implemented</i>													
A 03 01	Arrange training activities and training providers					X	X	X	X	X	X	X	X	X
A 03 02	Implementation of training activities							X	X	X	X	X	X	X
A 03 03	Monitoring and Evaluation of training activities							X	X	X	X	X	X	X
A 04	<i>Result 4 Individual scholarships are managed</i>													
A 04 01	Follow-up of individual scholarships in the Health sector			X	X	X	X	X	X	X	X	X	X	X
A 04 02	Follow-up of individual scholarships in the Education sector			X	X	X	X	X	X	X	X	X	X	X
A 04 03	Follow-up of individual scholarships in the Environment sector			X	X	X	X	X	X	X	X	X	X	X
A 04 04	Implement Alumni activities						X	X	X	X	X	X	X	X

Rationale:

- Result 1: The activity to identify and select BO was transferred to the line ministries (decision Steering Committee – February 2015)
- Result 1: The activities of Result 1 are brought in line with the first phase of the phased integrated capacity development framework (see above)
- Result 2: original activity 3 and 4 of Result 2 are eliminated as they will not be different from activity 1 and 2.
- Result 3: Activity 1 was reformulated as there is no involvement of the STC in training procurement.
- Result 4: The activities for individual scholarships have a prolonged duration given the extra call for scholarship approved by the Steering Committee in 2014. (in the original plan these scholarships were to be phased out by the end of year 3)
- Result 4: The activities for alumni were not integrated in the TFF-operational planning. They are now included with a focus on activities and less emphasis on the association.

The new operational plan and a budget modification will be discussed in the Steering Committee meeting planned for Q3 2015.

3.5 Follow-up mechanisms

- As indicated above **no further information needs** were identified. Further data collection is embedded in the regular working processes.
- All tools are developed and presented in the **M&E Toolkit** that forms part of this baseline study.
- The **role of each of the actors** is defined in the matrixes above (see columns “Responsible data collection” and “responsible consolidation”). Summarized these roles are:
 - Beneficiary Organisations are in the lead for the data collection at the level of the impact and outcome. At those levels the Project Coordination Team (PCT) is in charge for the organisation of the end-of-support cycle data collection by the BOs and is in charge of data consolidation.
 - At the level of output 1 and 2 most data collection is to be realised by the Project Management, except for data collection related to the indicator on the definition of areas for organisational improvement and the indicator related to the level of satisfaction and confidence of BO Management and HRD staff. For those exceptions the BOs are responsible. The Project Coordination Team (PCT) is in charge for the organisation of collection by the BOs and is in charge of data consolidation.
 - At the level of output 3 most data collection is to be realised by the training providers, except for data collection related to the indicator on the implementation of selected training activities and the indicator related to the level of satisfaction and confidence of BO Management and HRD staff. For those exceptions the BOs are responsible. The Project Training Manager is in charge for the organisation of collection by the training providers and BOs and in charge of data consolidation.
 - At the level of output 4 most data collection is to be realised by service providers, except for data collection related to contract management, and alumni activities. For those exceptions the Project Scholarship Officer is responsible. Project Scholarship Officer is in charge for the organisation of collection by the service providers and in charge of data consolidation.
 - The Project Coordination Team (PCT) and especially the Project Coordinator is in charge for using the consolidated data in relevant reporting to BOs, Sector Technical Committees, Co-Coordination Team and Steering Committee.
 - The Steering Committee is responsible:
 - Appreciate the project progress and results achievement on the basis of reports and advice on corrective actions to ensure the achievement of the project's objectives
 - Approve or disapprove recommendations made by the PCT in the annual result report
 - Manage strategic changes on overall and specific objectives, the duration and the total amount of the project.
- In the planned activities for *“Development of policy, strategy and set of tools”* specific attention will be built in for learning on the strategies and tools developed in the project. This learning will be systematised and presented in learning briefs.

- As this project is part of the implementation of a new scholarship strategy within BTC, the reporting and learning of project will also be share with similar projects that are rolled-out in other countries of the Belgian Cooperation and with BTC HQ. The project will also participate in relevant exchange platforms on this matter organised by BTC Headquarters.
- The M&E framework presented was developed taking into account the available means. This should ensure that the M&E framework is feasible and cost-effective. No additional means are needed.

4. Annexes

4.1 Instruments and Tools

See separate M&E Toolkit.

4.2 Indicator forms

INDICATOR FORM	
Impact/Outcome/Output	Impact
Name of Indicator:	Increase of development level in the organisational assessment
DESCRIPTION	
Precise Definition(s):	This indicator measures the evolution of the aggregated overall development level of Beneficiary Organisations, as reflected in their organisational self-assessments.
Rationale:	To assess the impact of Human Resource Development support on the overall functioning of BOs. Other types of support from BTC sector programmes and/or other donors will also contribute to the impact level. It makes sense to monitor the evolution of this indicator but we cannot attribute any positive changes to the SDHR project only.
Disaggregated by: <i>(if applicable)</i>	The excel analysis tool (see Toolbox, Tool 1.2) allows for disaggregation of the indicator by sector and by organisation type. The Annex 4.5. Includes a table with the classification of BO's into different types.
Calculation/Unit of Measurement:	We measure the aggregated overall development level from the organisational assessment . The calculation is done using a specific calculation template in excel. The different steps are the following: <ol style="list-style-type: none"> 1) Per BO, calculate the development level for each of the ten main topics of the organizational assessment. This is done by taking the average of the individual sub-items under each topic. <i>Note: some BO's have calculated the above information themselves, but these values are not always consistently calculated. Therefore we have opted to use a uniform methodology.</i> 2) Per BO, now take the average of these ten topics to calculate the overall development level for the BO. 3) The overall development levels per BO are now aggregated (by again calculating an average value). This is the final indicator.
Baseline value:	2.2
(Intermediary) Target Values (if any)	We will carefully monitor this value to ensure there is a meaningful increase, but no quantitative targets will be set: we can contribute to change at the impact level but we cannot fully control it.
Final target value	n.a.
PLAN FOR DATA COLLECTION	
Source:	Organisational self-assessment filled in by each Beneficiary Organisation.
Data collection (How?):	BO's have submitted the self-assessment as part of their application. The same exercise will be repeated at the end of the support cycle. The documents will be submitted by the BOs. The Training Manager will input the data using the excel template (see Toolbox, Tool 1.2).
Time schedule for data collection:	Before the start of the support cycle and after the end of the support cycle. There will be more than one cycle of support throughout the intervention period.

Responsibilities	Forms will be filled in by BO's. The values will be consolidated by the Training Manager.
DATA QUALITY ISSUES	
Data quality assessment:	<p>We are aware of the limitations of a quantitative self-assessment. To overcome these limitations as much as possible, BOs are asked to fill in the form in a team of at least three people with management responsibilities. The quantitative information will also be cross-checked with the qualitative justifications and supporting documents provided by the BOs. By using a uniform excel template to calculate the indicator, mistakes are avoided and a uniform approach is guaranteed over time.</p> <p>The organisational self-assessment is already part of the application process. Data are therefore easily obtainable and comparable (all organisations fill in a universal tool).</p> <p>One issue to keep in mind is that the next cycle of support will most likely start while the first cycle has not ended yet. In this case, we will consider the organisations that already went through a cycle of support separately from the 'new' ones who are coming in during the second call.</p>

INDICATOR FORM	
Impact/Outcome/Output	Output
Name of Indicator:	<p>Level of satisfaction and confidence of BO Management and HRD staff related to defining organisational development needs. (output 1)</p> <p>Level of satisfaction and confidence of BO Management and HRD staff related to HRD planning process (output 2)</p> <p>Level of satisfaction and confidence of BO Management and HRD staff related to HRD implementation (output 3)</p>
DESCRIPTION	
Precise Definition(s):	<p>The project follows a phased integrated capacity development framework. There are 3 phases:</p> <ol style="list-style-type: none"> 1. Strengthening of quality organizational self-assessments as the basis for HRD initiatives; 2. The definition and improvement of strategic HRD-initiatives and training plans based on organizational needs; and 3. The definition and improvement of training processes that enable transfer of learning. <p>The indicator verifies with BO Management and HRD staff how their satisfaction is with progress in each phase looking at (1) satisfaction level and (2) confidence on task.</p>
Rationale:	The indicator focusses on the capacity of BO Management and HRD staff in bringing each phase of the capacity development framework to a good conclusion. This capacity is crucial in terms of sustaining good HRD planning and implementation in each BO.
Disaggregated by: <i>(if applicable)</i>	The satisfaction and confidence with HRD Planning processes-questionnaire (see Toolbox, Tool 3.6, 4.5 and 5.4) allows for indications on capacity of BO Management and HRD staff in terms of good HRD planning and implementation.

Calculation/Unit of Measurement:	<p>This describes the way the indicator's value will be calculated, and clarifies the unit of measurement</p> <p>We measure the satisfaction with different steps in the HRD planning process and the confidence of BO Management and HRD staff to work on HRD planning. The measurement is done through a questionnaire. At the end of each support process (1 per phase of the capacity development framework) satisfaction and confidence with HRD Planning processes is measured.</p> <ul style="list-style-type: none"> <input type="checkbox"/> For satisfaction we use a scale of 4 (Not at all satisfied (1), Not so much satisfied (2), Fairly satisfied (3), Very satisfied (4)) and we ask to reflect of the initial situation and the improved situation. <input type="checkbox"/> For confidence we measure the degree of confidence with each task by recording a number from 0 to 100. <p>Overall improvement of satisfaction and confidence can be calculated per BO but for the overall picture the average for all BOs will be calculated at the end of each support cycle.</p>
Baseline value:	N/A
(Intermediary) Target Values (if any)	<p>Target Value year 2: 60% (confidence degree)</p> <p>Target Value year 4: 80% (confidence degree)</p>
Final target value	80%
PLAN FOR DATA COLLECTION	
Source:	Satisfaction and confidence with HRD Planning processes- questionnaire filled in by BO Management and HRD staff.
Data collection (How?):	<p>At the end of each support cycle.</p> <p>Through workshop events for the whole group of BO or during field visits.</p>
Time schedule for data collection:	Per support cycle (length varies per BO)
Responsibilities	Project Coordination Team (Project Coordinator and Training Manager)
DATA QUALITY ISSUES	
Data quality assessment:	<p>We opted not to request BO Management and HRD staff to score satisfaction and confidence at the start of each cycle as their answers at that stage is likely to be biased because of the task ahead and their willingness to prove they are able.</p> <p>By using a questionnaire data are easily obtainable, accurate, and comparable.</p> <p>To overcome eventual limitations as much as possible, at least three people (management and HRD) of each BOs are asked to fill in the questionnaire. This allows to verify if there is an equal perception of trends at the level of each BO.</p>

4.3 Categorisation of Beneficiary Organisations

Educational Institutions <i>Unyama and Kyambogo were left out form the analysis (assessment was not properly filled in)</i>	NTC Kabale
	NTC Muni
	NIC Abilonino
	UTC Kichwamba
	NTC Mubende
	NTC Unyama
	Kyambogo University
District Health Office	District Health Office Ntoroko District
	Yumbe district Health Office
	District Health Office Adjumani
	District Health Office Bundibugyo
	Zombo District Health Office
Health Centre IV	Mungula Health Centre IV
	Nyahuka Health Centre IV
	Midigo Health Centre (Yumbe district)
Hospital	Bundibugyo General Hospital
	Yumbe Hospital
	Holy Family Hospital - Nyapea
	Bwera Hospital
	Adjumani Hospital
	Oriajin Hospital
	Kagadi Hospital
Central Government Department or National Agency	Procurement Unit (MoESTS)
	Directorate of Industrial Training (DIT)
	National Curriculum Development Centre (NCDC)
	Human Resource Management Department (MoESTS)
	Construction Management Unit (CMU)
	Uganda Business and Technical Examinations Board (UBTEB)
	TIET
	Climate Change Department (MWE)
	Finance and Administration (MWE)
	Uganda National Meteorological Authority (UNMA)
	Forestry Sector Support Department (FSSD)
	Policy and Planning Department (MWE)
	Wetlands Management Department
	Health Manpower Development Centre
Other - does not fit in the above categories. Fort Portal Regional Referral Hospital was left out from the analysis (assessment not properly filled in). Because we want to avoid reporting at the level of individual BO's, the category 'Other' as a whole was excluded in the reporting.	Fort Portal regional referral hospital

4.4 Terms of Reference Backstopping mission

**TERMS OF REFERENCE BACKSTOPPING IN MONITORING
NAME INTERVENTION: SUPPORT TO BENEFICIARY INSTITUTES TO
THE SKILLS DEVELOPMENT OF THEIR HUMAN RESOURCES (SDHR)
NAVISION CODE: UGA 1188811**

GENERAL INFORMATION

Intervention name:	Support to Beneficiary Institutes to the skills development of their human resources (SDHR)
Navision code	UGA1188811
Budget Line	
Number of preparation days (home/field)	2
Number of Backstopping days	<ul style="list-style-type: none"> - 2 days of support at distance - 4 days of support during a field mission - 2 days after the mission for finalizing the expected deliverables.
Number of days for debriefing, reporting, in-country travelling, support to RR (home/field):	Included in Backstopping days
Total consultancy days	10
Timing Backstopping	See tentative planning under 4. Planning
Composition BS team	<p><u>From MDF : Dick Van Blitterswijk</u> <u>From BTC Uganda:</u> Nebeyu Shone (ResRep) Wouter Van Damme (ITA) Juliet Murekatete (NTA) HRD- and M&E representatives of Ministry of Health, Education, Environment and Public</p>
Focal point / contact person (name and email address)	Wouter Van Damme wouter.vandamme@btcctb.org

CONTEXT OF BACKSTOPPING

Introduction to the project

So far the scholarship programmes used to focus on individual training with paying less attention to strengthening the capacity of the organization where the beneficiaries work for. It made assessment of impact on organizational level rather difficult. In response to the recommendations of a general evaluation done in 2007, a reflection on the way to redefine the scholarship programs strategy was carried out.

A new strategic note was approved on 29th January 2012 and in line with that strategy a new project was developed. Within the “**Support to Beneficiary Institutes to the skills development of their human resources**”-project (SDHR), the system of granting scholarships on an individual and isolated basis will evolve towards an integrated capacity development project that will target selected institutes in the concentration sectors of the Indicative Development Cooperation Program 2013/2016: health and education, and to a lesser extend also environment.

The intervention aims ‘*to contribute to a better service delivery of Ugandan institutes and organizations (general objective)*’ by *increasing the human resource skills of selected Beneficiary Institutes in the health, education and environment sectors’ (specific objective)*. It will do so by

1. Putting in place the Sectorial Technical Committees for each sector and strengthen them to perform effectively their tasks.
2. Strengthen the capacities of selected Beneficiary Institutes to develop and implement their human resource development plan based on a human resource needs assessment.
3. Reinforcing effectively the human resource capacity of Beneficiary Institutes.
4. And by managing individual scholarships.

Based on an analysis of the HRD situation in the sectors, the project adapted and developed an implementation strategy targeting: (1) the strengthening of quality organizational assessment as the basis for HRD initiatives (with an organizational perspective); (2) the improvement of the definition of strategic HRD-initiatives and training plans based on organizational needs, and (3) the improvement of the definition of training processes that enable transfer of learning. The implementation strategy foresees in an **application process** by selected Beneficiary Organizations. Sectorial Technical Committees (one for each sector) will appraise the application and based on the appraisal **organizations will enter in one of three support categories:**

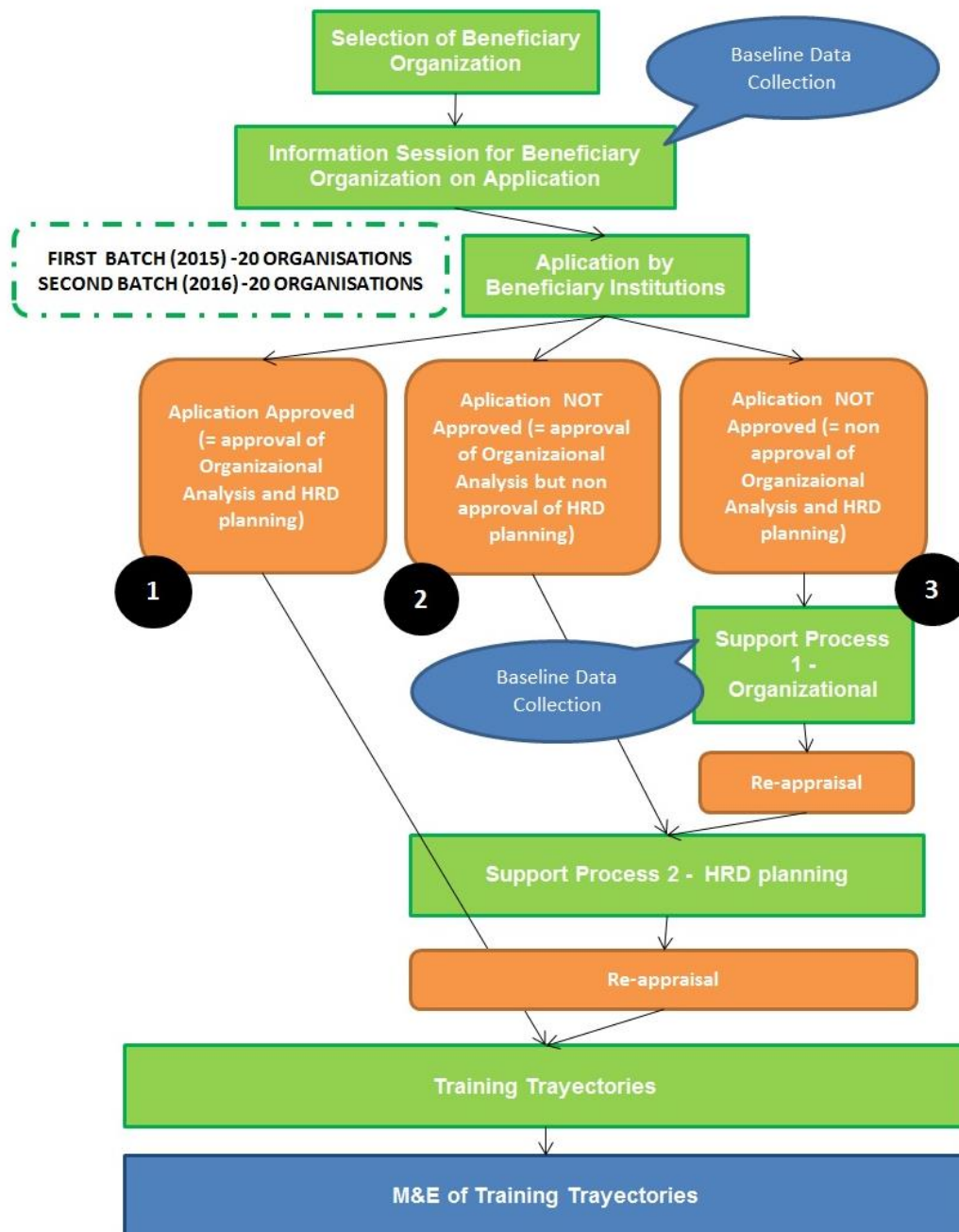
1. Support Category 1: for organizations that do dispose of good strategic documentation in the field of organizational and HRD strategy no preparatory phases are needed. These organizations can receive immediate training support.
2. Support Category 2: for organizations that do dispose of good strategic documentation in the field of organizational strategy but not yet on HRD strategy, the support process of the project goes through 1 preparatory phase focused on support

to HRD and training planning. Only after passing through this phase organizations can receive training support.

3. Support Category 3: for organizations that do not dispose of good strategic documentation in the field of organizational and HRD strategy the support process of the project goes through 2 preparatory phases. Phase 1 is support to the organizational assessment (followed by re-appraisal), Phase 2 is support to HRD and training planning. Only after passing through these phases organizations can receive training support.

A visual representation of this implementation strategy:

Implementation Procees



State of monitoring

At the start-up of the project the Project Coordination Team disposed of the following inputs for baseline and M&E: the logical framework and a general description of BTC's procedures with regard to baseline and M&E.

Based on this inputs and after collecting more information the **M&E Matrix** (cf MONOP) was developed. During this exercise indicators were screened again, some of them were adapted. Per indicator the following elements were identified:

- a (sometimes tentative) baseline data
- updated description of the source / means of verification
- data collection and analysis (method, tool and frequency)
- responsible person
- budget for data collection and analysis

Details of this matrix can be found in annex (see 5.).

From a brief **analysis of the 25 indicators** we learn that we roughly have 3 sets of indicators:

- **Set 1** is for 12 indicators where the data collection and analysis (for baseline and M&E) is rather straight forward and easy. In the annex we have marked them in green. Data collection for the baseline will be collected through: (1) the data the organization has to provide in application process (see figure above), (2) the data coming from a HR-self assessment done at the information sessions (see figure above), and (3) basic project procedures.

Notes:

1. An external verification of the data provided for by the application and self-assessment might be needed. That verification would be done at the stage of (1) organizational assessment, and (2) field visits.
 2. Some baseline data in the annex probably will be updated.
 3. The HR- self assessment will provide the project with more HR data than needed but this contextual data will help the project's understanding of the beneficiary organizations.
- **Set 2** is for 7 indicators related to the training activities that have to be set-up by the project. In the annex we have marked them in orange. The baseline data for all these indicators is "0" as the activities are to be set-up. For data collection and analysis during the project specific M&E-instruments are to be developed. A budget for this M&E is provided for in the project (20,000 EUR (A_03_03)) but this budget will allow for development but not really for separate data collection for 40 organizations. Data collection should be integrated in the training activities.
 - **Set 3** is for 6 indicators where the data collection and analysis (for baseline and M&E) is more complex and demands a bigger effort. In the annex we have marked them in red. The complexity is related to the fact that the project will have to look for cost- and time-effective ways of collecting the information taking into account that collection is needed at the level of all involved organizations (40). This collection is for most of these indicators planned to be collected 3 times during the project's lifecycle:

once at baseline, once after 2 years implementation, once at the end.

Basically the following data collections are needed:

At Impact level:

- a) Customer Satisfaction Survey / focus group with users of Beneficiary Organization
- b) Annual and performance reports of selected Beneficiary Organizations / Organizational Assessments / Statistics and sector performance reports of Health, Education and Environment

Note: at the moment of the application we can verify the practise of Annual and performance reports and Customer Satisfaction Survey.

At Outcome level:

- c) Staff Survey / interviews with staff of Beneficiary Organizations (sample)
- d) Annual performance appraisals of Beneficiary Organizations
- e) Personnel Satisfaction Survey / focus group with personnel of Beneficiary Organizations

At Output level:

- f) Tracer study of scholars

Budget for M&E foreseen in the project:

- 105,000 EUR (Z_04_01) for baseline (the project intends to use this budget for the organizational assessments)

Note: we could not use this budget for the organizational assessments (and finance the organizational assessments on the training budget) but they also serve to verify data from the HRD-self assessment and as such they also provide external verification of baseline data.

- 100,000 EUR (Z_04_02) for M&E (basically for the evaluations MTR and Final Review)

Note: we could opt to spend part of the evaluation budget on studies for indicators in set 3.

- 20,000 EUR (A_03_03) for 'Support the implementation of M&E system' of the training

Tools to be developed or adapted OR to be used by consultants that we involve for studies:

- HRD-self assessment
- All tools for indicators in set 2
- Part of the tools for indicators in set 3

Final notes on timing

- The application process will be realized before this Back Stopping Mission. The HRD-self-assessment will also be realized as it will be filled in at the moment of the

information sessions (to be realized in weeks of 13-17 april and 20-24 april 2015). We would suggest that some days of support of the mission are to be realized before the actual field mission (by email and Skype) on this matter and to include eventual other assessments related to indicators from set 3

- The procurement for organizational assessment is to be launched in the week of 6-10 April. A specific back stopping for this process will be realized by stoopconsulting bvba (framework BXL 1020_Lot 5_13 (STOOP)) on 31 of March and 1st of April. It is important that in the methodology of that procurement process also part of data collection for indicators from set 3 is planned for.

OBJECTIVES AND EXPECTED RESULTS

Currently the project is preparing the procedures for application and appraisal and the procurement for the support process of organizational assessment. The latter aims at ensuring pertinence and effectiveness of further on processes of capacity building (and skills development of the human resources) of beneficiary organizations. But these processes are also important moments for data collection in the M&E Framework.

There the objective of the Backstopping Mission is to support to the further M&E framework and tools of the SDHR-project.

Expected and the expected results (in terms of outputs/deliverables) are:

1. Assessment of the M&E framework as it is (including screening of indicators) + recommendations.
2. Instruments/tools to ensure part of baseline data-collection for indicators of set 3 at the moment of information sessions of the application process and/or at moment of organizational assessments.
3. A plan and part of the tools for M&E for indicators of set 3 (taking in to account the elements of cost- and time-effectiveness)
4. A plan and tools for M&E for indicators of set 2 (taking in to account the elements of cost- and time-effectiveness)

PLANNING

The consultancy will take 10 working days:

- 2 days for preparation
- 2 days of support at distance
- 4 days of support during a field mission
- 2 days after the mission for finalizing the expected deliverables.

Task	Period/Deadline
1. Preparation focussed on deliverables 1 and 2	2 days on 2 nd and rd April
2. Support at distance for instruments/tools to ensure part of baseline data-collection for indicators of set 3 at the moment of information sessions of the application process and/or at moment of organizational assessments.	2 days between 8-10 April
3. Support during a field mission focussed on deliverables 3 and 4 Programme will include <ul style="list-style-type: none"> o Briefing o co-ordination meeting with the involved HRD-representatives of Ministry of Health, Education, Environment and Public Service o meetings with project coordination team o meetings with M&E-departments of Ministry of Health, Education, Environment and Public Service (for alignment purposes) o debriefing 	4 days between 4-8 May
4. Transmit final documents	1 week after field mission – submit by 15/05/2015 the latest.

ANNEX

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
IMPACT: Improved service delivery of Ugandan institutes and organizations.	Improved service delivery of selected Beneficiary Organizations measured by client satisfaction	xx% of clients reporting that they are somewhat satisfied or very satisfied with the services delivered by the Beneficiary Organization	20% increase in the percentage of clients reporting that they are somewhat satisfied or very satisfied with the services delivered by the Beneficiary Organization	Customer Satisfaction Survey / focus group with users of Beneficiary Organization	once every 2 years	PCT + consultants (preferably together with Beneficiary Organization)	For baseline: survey at moment of organisational assessment 105,000,EUR (Z_04_01)
	Improved service delivery of selected Beneficiary Organizations measured by key performance indicators	% of Beneficiary Organizations reporting performance improvement	increase in % of Beneficiary Organizations reporting performance improvement	Annual and performance reports of selected Beneficiary Organizations / Organizational Assessments / Statistics and sector performance reports of Health, Education and Environment	once every 2 years	PCT + consultants (preferably together with Beneficiary Organization)	For baseline: at moment of organisational assessment 105,000,EUR (Z_04_01)
OUTCOME: Increased skills of human resources of selected beneficiary institutes in the health, education and environment sectors.	Number of staff (sex-disaggregated) auto evaluating their performance positive	baseline value to be established	baseline value + 50% (2015: +20%, 2017: +40%)	Staff Survey / interviews with staff of Beneficiary Organizations (sample)	once every 2 years	PCT + consultants (preferably together with Beneficiary Organization)	For baseline: at moment of organisational assessment 105,000,EUR (Z_04_01)
	Improved Performance scores of staff in annual performance appraisals of Beneficiary Organizations.	baseline value to be established	baseline value + 50% (2015: +20%, 2017: +40%)	Annual performance appraisals of Beneficiary Organizations.	once every 2 years	Responsible in Beneficiary Organization	For baseline: at moment of organisational assessment 105,000,EUR (Z_04_01)

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
	Number of Beneficiary Organizations that have a qualitative HR capacity development plan (linked to organizational needs)	0	40 (2015&2016: 20,2017&2018: 40)	HR Capacity Development Plans	permanent	PCT + consultants	HRD survey at information session 40,000 EUR (A_02_01)
	Number of Beneficiary Organizations that have a HR capacity development plan that is effectively rolled-out	0	40 (2015: 10, 2016: 20,2017: 30, 2018: 40)	Reports of training activities of selected Beneficiary Organizations	permanent	PCT + consultants	HRD survey at information session 40,000 EUR (A_02_01)
	Percentage of personnel reporting that they are somewhat satisfied or very satisfied with the HRD of the Beneficiary Organization	40%	60% (2015: 40%, 2016: 40%, 2017: 50%, 2018: 60%)	Personnel Satisfaction Survey / focus group with personnel of Beneficiary Organizations	once every year	PCT + consultants	For baseline: at moment of organisational assessment 105,000, EUR (Z_04_01)
OUTPUT 1: The STC's for each sector are established and strengthened to perform effectively their task.	STCs for each sector are established and assume their role.	0	3 (+ eventual 1 intersectoral) (same value for all years)	Minutes of STC meetings	three times every year	PCT	M&E retreat 102,000 EUR (A_01)
	Common concept, strategy and tools on HRD are developed, tested and regularly reviewed and	MoH and MoES have a Training Policy, MoWE has a sector CD strategy	Strategies have been improved (linked to organizational development) and tools developed ¹⁴	(1) Concept, strategy and tools on HRD provided to potential Beneficiary Organizations, (2) Monitoring	two times a year	PCT	M&E retreat 102,000 EUR (A_01)

¹⁴ Annual targets: 2015: Tools for Organizational Assessment and Training planning are available, 2016: Tools for Organizational Assessment and Training planning are improved after first use, 2017: Based on experiences with tools strategy improvements are developed, 2018: Based on experiences with tools strategy improvements are implemented

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
	adjusted.			and evaluation reports of the intervention.			
	List of preselected Beneficiary Organizations are reviewed and updated	1.237 Organizations Preselected	At least 40 Organizations selected (2015: 20, 2016: 20, 2017: 40, 2018: 40)	Monitoring and evaluation reports of the intervention / databank	two times a year	PCT	M&E retreat 102,000 EUR (A_01)
OUTPUT 2: Selected Beneficiary Organizations are strengthened to develop and implement their HR development plan based on a HR needs assessment.	Number of selected Beneficiary Organizations with a needs assessment, a HR capacity development plan, an implementation plan and M&E system up to the standards of the concept, strategy and tools developed by the STCs.	0 Beneficiary Organizations with a needs assessment, a HR capacity development plan, an implementation plan and M&E system	40 Beneficiary Organizations with a needs assessment, a HR capacity development plan, an implementation plan and M&E system. (2015: 20, 2016: 20, 2017: 40, 2018: 40)	(1) Monitoring and evaluation reports of the intervention	permanent	PCT	at moment of application 12,000 EUR (A_01_03)
	Number of selected Beneficiary Organizations that dispose of at least 1 person knowledgeable about HRD	0 Beneficiary Organizations dispose of at least 1 person knowledgeable about HRD	All 40 Beneficiary Organizations dispose of at least 1 person knowledgeable about HRD (2015: 20, 2016: 20, 2017: 40, 2018: 40)	(1) Monitoring and evaluation reports of the intervention, (2) Focus groups with HR staff of Beneficiary Organizations	permanent	PCT	HRD survey at information session 40,000 EUR (A_02_01)
	Number of selected Beneficiary Organizations that disposes of at least 1 person able to use HRD policy	0 Beneficiary Organizations dispose of at least 1 person able to use HRD policy and tools	All 40 Beneficiary Organizations dispose of at least 1 person able to use HRD policy and tools	(1) Monitoring and evaluation reports of the intervention, (2) Focus groups with HR staff of Beneficiary	permanent	PCT	HRD survey at information session 40,000 EUR (A_02_01)

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
	and tools		(2015: 20, 2016: 20, 2017: 40, 2018: 40)	Organizations			
	Number of needs assessments and training plans addressing cross-cutting issues (such as for example HIV/AIDS, child health and ASRH)	0	40 (2015: 20, 2016: 20, 2017: 40, 2018: 40)	(1) Needs assessments, (2) Final training proposals	permanent	PCT	
OUTPUT 3: The human resource capacity of Beneficiary Organizations is effectively reinforced	Number of training activities organized	0 training	120 trainings (average of 3 per Beneficiary Organization (40) / average budget per training of 25.000 EUR) (2015: 15, 2016: 30, 2017: 60, 2018: 80)	Attendance list, reports of training activities	after every training	Trainer + PCT and Beneficiary Organization	20,000 EUR (A_03_03)
	Number of training activities organized addressing cross-cutting issues	0 training	6 trainings (2 per sector) (2015: 0, 2016: 2, 2017: 4, 2018: 6)	Attendance list, reports of training activities	after every training	Trainer + PCT and Beneficiary Organization	20,000 EUR (A_03_03)
	Quality of training activities organized measured by satisfaction of participants (sex-disaggregated) of Beneficiary Organizations	N/A	an average of 80% of participants reporting that they are somewhat satisfied or very satisfied with the training (same value for all years)	Training evaluation (for participants)	after every training	Trainer	20,000 EUR (A_03_03)

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
	Quality of training activities organized measured by satisfaction of HR staff (sex-disaggregated) of Beneficiary Organizations	N/A	an average of 80% of the HR staff reporting that they are somewhat satisfied or very satisfied with the training (same value for all years)	Training evaluation (for HR Staff)	after every training	PCT	20,000 EUR (A_03_03)
	Quality of training activities organized measured by relevance (level of correspondence between objectives of training plans and content of training activities)	N/A	All training activities are justified by a clear link with organisational needs and training preparation is done properly. (2015: 15, 2016: 30, 2017: 60, 2018: 80)	Training preparation documents	before every training	Trainer + PCT and Beneficiary Organization	20,000 EUR (A_03_03)
	Quality of training activities organized measured by effective skills development (learning outcomes) (sex-disaggregated)	N/A	Evaluation shows that 80 % from all participants have obtained competencies after training. (same value for all years)	evaluations of participants (pre and post-test, ...)	before and after every training trajectory	Trainer + PCT and Beneficiary Organization	20,000 EUR (A_03_03)
	Participation of women to training activities	N/A	50% of the participants to training are women. (same value for all years)	Attendance list	after every training	PCT	20,000 EUR (A_03_03)

Results	Indicators	Baseline	Target (incl annual targets)	Source / Means of verification	Data collection and analysis <i>Method, Tool and Frequency</i>	Resp. person	Budget for data collection & analysis ***
OUTPUT 4: Individual scholarships are managed.	Number of on-going scholarships finalised as programmed.	198 on-going	15 still on-going (2015: 164, 2016: 106, 2017: 25, 2018: 15)	Follow-up reports and evaluations made by Beneficiary Organizations and trainees	once every year	PCT	No specific budget needed
	Level of integration of skills reinforced in the framework of this in intervention, in the Beneficiary Organization of the scholars.	198 students bonded to public sector organizations	198 students still working in the public sector organizations (same value for all years)	Tracer study	once after 4 year	Consultancy	Tracer study budget needed
	Recognition of Alumni Network measured by the number and character of events where the Network is invited to	0 events	4 events (2015: 1, 2016: 1, 2017: 1, 2018: 1)	Annual reports of the Alumni Network.	once every year	PCT	No specific budget needed
	Recognition of Alumni Network measured by number and character of their members.	0 members	at least 100 members (2015: 50, 2016: 75, 2017: 100, 2018: 100)	Annual reports of the Alumni Network.	once every year	PCT	No specific budget needed

*** With regard to budget for data collection & analyses, reference is made to budget lines. No line specific budgeting is provided.

Changes in the formulation of results: None

New indicators, changed indicators or deleted indicators.

Indicators at...	Previously...	Changed to...
Outcome level	Number of staff (sex-disaggregated) of Beneficiary Organizations in the priority sectors whose performance in their organization is improved.	Number of staff (sex-disaggregated) auto evaluating their performance positive
	Number of Beneficiary Organizations in the priority sectors which started with the effective rolling-out of their HR capacity development plan. (Provisional target of at least 40 Beneficiary Organizations).	Improved Performance scores of staff in annual performance appraisals of Beneficiary Organizations.
		Number of Beneficiary Organizations that have a qualitative HR capacity development plan (linked to organizational needs)
		Number of Beneficiary Organizations that have a HR capacity development plan that is effectively rolled-out
Percentage of personnel reporting that they are somewhat satisfied or very satisfied with the HRD of the Beneficiary Organizations		
Output 2	Level of understanding of the common concept, approach, and developed tools on HR development by the HR staff of selected Beneficiary Organizations.	Number of selected Beneficiary Organizations that dispose of at least 1 person knowledgeable about HRD
	Number of needs assessments including cross-cutting issues.(HIV/AIDS, child health and ASRH)	Number of selected Beneficiary Organizations that disposes of at least 1 person able to use HRD policy and tools
	Number of needs assessments including cross-cutting issues.(HIV/AIDS, child health and ASRH)	Number of needs assessments <u>and training plans</u> addressing cross-cutting issues (such as for example HIV/AIDS, child health and ASRH)
Output 3	Number and quality of training activities organized measured by (a) satisfaction of participants and HR staff of Beneficiary Organizations	Number of training activities organized
		Quality of training activities organized measured by satisfaction of participants (sex-disaggregated) of Beneficiary Organizations
		Quality of training activities organized measured by satisfaction of HR staff (sex-disaggregated) of Beneficiary Organizations
	Number and quality of training activities organized measured by (b) level of correspondence between objectives of training plans and the content of the training activities	Quality of training activities organized measured by relevance (level of correspondence between objectives of training plans and the content of the training activities)
	Number and quality of training activities organized measured by (c) level of integration of skills reinforced in the framework of this in intervention, in Beneficiary Organizations.	Quality of training activities organized measured by effective skills development (learning outcomes) (sex-disaggregated)
	Number and quality of training activities organized measured by (d) number on cross-cutting issues (gender, SRH).	Number of training activities organized addressing cross-cutting issues

	-	Participation of women to training activities
Output 4	Recognition of Alumni Network measured by: (a) number and character of events where the Network is invited to, and (b) number and character of their members.	Recognition of Alumni Network measured by the number and character of events where the Network is invited to
		Recognition of Alumni Network measured by number and character of their members.

4.5 List of actors that have been involved in the baseline process

Actor	Title
Dick Van Blitterswijk	Consultant, MDF
Wouter Van Damme	Coordinator SDHR project
Juliet Murekatete	Scholarships Officer SDHR project
Lien Van Mellaert	M&E Officer/Junior Assistant, TTE project
Charles Isabirye	Representative MoH / CCT member
Joseph Eritu	Representative MOWE / CCT member

4.6 List of complementary studies (if any)

Adroit Consulting. An impact assessment study for the Belgian Scholarship Programme in Uganda (2005-2008; 2009-12). July 2013.

Adroit Consulting. A needs assessment study for the Belgian Scholarship Programme in Uganda (2013-16). July 2013.