

Design & Appraisal Stage Quality Assurance Report

Overall Project Rating : Satisfactory

Decision : Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.

Project Number : 00095226

Project Title : BRA/16/004 - Support to Technical and Vocational Education and Training in Haiti through the Establishment of a Vocational Training Center and Related Institutional Strengthening.

Project Date : 01-Nov-2016

Strategic

Quality Rating: Satisfactory

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):

- 3: The project has a theory of change with explicit assumptions on how the project will contribute to higher level change as specified in the programme's theory of change, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
- 2: *The project has a theory of change related to the programme's theory of change. It has explicit assumptions that explain how the project intends to contribute to higher level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.*
- 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme's theory of change. The project document does not clearly specify why the project's strategy is the best approach at this point in time.

Evidence

The project aims to contribute to an increase in qualification in the Haitian work force that will improve their chances of finding a job or starting a business. The project will draw on a thorough analysis of the Haitian labor market that will identify current demand and map future demand for skilled workers by local industry and the potential for self-employment. The project will contribute to social and economic development in Haiti by strengthening capacity for skills development based on strategy that combines fully equipped physical facilities and substantive knowledge building and sharing with INFP. As part of this strategy, the project will lead institutional strengthening actions together with the INFP, with a sharp focus in developing managerial and administrative capacity to more effectively accomplish its institutional mission of promoting skills development in Haiti.

Management Response

2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option that best reflects the project)

- 3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas ; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)
- 2: *The project responds to one of the three areas of development work1 as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)*

1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

Evidence

The project is aligned to the area of resilience building. The project responds to Output 7.5: South-South and Triangular cooperation partnerships established and/or strengthened for development solutions.

Relevant

Quality Rating: Satisfactory

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option that best reflects this project)

3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project plans to solicit feedback from targeted groups regularly through project monitoring. Representatives of the targeted group/geographic areas will contribute to project decision-making, such as being included in the project's governance mechanism (i.e., project board.) (all must be true to select this option)

2: *The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised, and are engaged in project design. The project document states clearly how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. Collecting feedback from targeted groups has been incorporated into the project's RRF/monitoring system, but representatives of the target group(s) may not be directly involved in the project's decision making. (all must be true to select this option)*

1: The target groups/geographic areas do not prioritize excluded and/or marginalised populations, or they may not be specified. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

Evidence

Project beneficiaries will be 3000 young people aged sixteen to twenty-five of both sexes and local enterprises, which will be able to count with greater availability of qualified workers.

Management Response

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option that best reflects this project)

3: Knowledge and lessons learned backed by credible evidence from evaluation, analysis and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.

2: *The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.*

1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

Evidence

SENAI has two decades of experience in similar projects in Latin America, Africa and East Timor, with ten Vocational Training Center around the world and has accumulated great deal of experience in building projects to establish these centers. The project benefited from this knowledge.

Management Response

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option that best reflects this project)

- 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)
- 2: *A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)*
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

Evidence

Management Response

The project has a gender output (3.3: Gender equity) to specifically respond to women's needs: prepare action plan for gender equity promotion; procure materials and hire services for the execution of the actions of gender equity promotion;

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the options that best reflects this project)

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)
- 2: *Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.*
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

Management Response

Yes, UNDP Brazil is the main implementer of SSC in Brazil. Hence it does have a clear advantage. UNDP has already cooperated with SENAI and ABC in the implementation of other nine Vocational Training Centers.

Social & Environmental Standards

Quality Rating: Highly Satisfactory

7. Does the project seek to further the realization of human rights using a human rights based approach? (select the options that best reflects this project)

- 3: Credible evidence that the project aims to further the realization of human rights, specifically upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously assessed and identified with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)
- 2: *Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were assessed and identified and appropriate mitigation and management measures incorporated into the project design and budget.*
- 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence**Management Response**

The project has some evidence that it aims to further realization of haitians human rights to education and work.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options that best reflects this project)

- 3: *Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).*
- 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

Evidence**Management Response**

Yes, outputs 3.3, 3.4,3.5 and 3.6 are designed to promote environmental sustainability.

9. If the project is worth \$500,000 or more, has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? Select N/A only if the project is worth less than \$500,000. [if yes, upload the completed checklist]

- Yes
- No
- NA

Evidence**List of Uploaded Documents**

File Name	Modified By	Modified
Análilse Social e Ambiental 16004 HAITI SENAI.docx	juliana.santos@undp.org	12/8/2016 1:35:51 PM

Management & Monitoring**Quality Rating: Satisfactory****10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)**

- 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)
- 2: *The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)*
- 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

Evidence**Management Response**

Results Framework were built according to pgs 12, 13 and 14 of the project

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

- Yes
- No

Evidence

This project has an specific outcome for M&E (OUTCOME 4). Besides were built 1 monitoring and evaluation plan on pgs 16 and 17.

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

- 3: The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option).
- 2: *The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)*
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence**Management Response**

Item VIII - GOVERNANCE AND MANAGEMENT ARRANGEMENTS of the project were defined on pg 21

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project)

- 3: Project risks fully described in the project risk log, based on comprehensive analysis which references key assumptions made in the project's theory of change. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)
- 2: *Project risks identified in the initial project risk log with mitigation measures identified for each risk.*
- 1: Some risks may be identified in the initial project risk log, but no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

Evidence

Management Response

Please check risk log on page 26.

List of Uploaded Documents

File Name	Modified By	Modified
Haiti_Risk_Log_BRA_16_004.doc	joaquim.fernandes@undp.org	4/20/2016 2:22:50 PM

Efficient

Quality Rating: Exemplary

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

- Yes
- No

Evidence

UNDP Haiti will be responsible party of output 1.1., 1.3 and 1.4 to increase cost -efficiency of the project through joint operations.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

- Yes
- No

Evidence

The project Haiti SENAI links up with project 10/005 to Strengthen Haitian Health Authority also led by UNDP in terms of management arrangements, such as the same project officer, joint missions, lessons learned.

16. Is the budget justified and supported with valid estimates?

- Yes

No

Evidence

The budget estimates are based on valid cost analysis.

17. Is the Country Office fully recovering its costs involved with project implementation?

Yes

No

Evidence

Yes, Country Office fully recovering its costs involved with project implementation.

Effective

Quality Rating: Satisfactory

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)

3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)

2: *The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.*

1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

Evidence

By the rules of the Haitian Reconstruction Fund, the responsible party must be UN Agency which both receive and execute the funds. Hence this is a DIM project.

Management Response

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?

3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.

2: *Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.*

1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.

Evidence

Project beneficiaries will be 3000 young people aged sixteen to twenty-five of both sexes and local enterprises, which will be able to count with greater availability of qualified workers.

20. Does the project have explicit plans for evaluation or other lesson learning, timed to inform course corrections if needed during project implementation?

- Yes
- No

Evidence

Yes, the project has 2 evaluations scheduled for mid term, in time to do course corrections and other to the end of project implementation.

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes
- No

Evidence

Yes, the gender marker for all project outputs are scored at GEN2.

Management Response

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project)

- 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.
- 2: *The project has a work plan & budget covering the duration of the project at the output level.*
- 1: The project does not yet have a work plan & budget covering the duration of the project.

Evidence

The project has a work plan & budget covering the duration of the project at the output level.

Sustainability & National Ownership

Quality Rating: Satisfactory

23. Have national partners led, or proactively engaged in, the design of the project?

- 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.
- 2: *The project has been developed by UNDP in close consultation with national partners.*
- 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence

Yes, Institut National de Formation Professionnelle et Technique (INFP) and the Ministry of Education and Occupational Training from Haiti, national partners in Haiti, were proactively engaged in, the design of the project.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):

- 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.
- 2: *A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.*
- 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.
- 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.

Evidence

The project's sustainability approach will rest on three pillars: (1) institutional strengthening for INFP; (2) stronger links to the labor market; and (3) a calibrated phasing-out of external support.

Institutional strengthening actions will address the needs of the INFP as a whole, not only the BHVTC. I will be based on an institutional assessment of INFP's strengths and weaknesses (using a SWOT analysis) and a transfer of relevant best practices in SENAI's management of its own system, with a view to adapt to INFP's reality in field. Experienced SENAI project managers will be entrusted with the management of the technical cooperation activities and will promote the dialogue with Haitian authorities in all relevant domains, including vocational and occupational training policies and the Center's own work strategy with the support of UNDP.

Capacity building efforts will rely on training programs for teachers, administrative staff and managers, each focusing on specific knowledge and/or skills requirements, with duration varying from two days to three months. In the case of managers and administrative staff, an internship in SENAI in Brazil will be offered.

The second pillar of sustainability involves strengthening the links between INFP and the labor market. This aims at making the institution more responsive to the demands of the national economy so that it is better positioned to supply trained workers in quantity and at the quality standards required by employers and investors.

The third pillar consists in a calibrated phasing-out of external support by SENAI. This involves launching a gradual approach to INFP more responsibilities in a higher standard of performance, aiming at ensuring that towards the end of the project INFP conducts all the functions in the management of a modernized occupational/technical educational system.

Through the life of the project, INFP's managerial staff will be trained in modern management of training centers in all its scope of influence, from the relationship with industry (employers), other government agencies (making the case for adequate budgeting) to the daily operation of the Center (planning for procuring materials, maintenance of installations, etc.). All along the three years of its duration, INFP managers will assume more and more tasks with less and less support from SENAI. Periodical reviews will be conducted to assess difficulties faced in the process. A similar approach to sustainability was successfully used by SENAI in other training centers elsewhere in the world.

25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes
- No

Evidence

INFP will be responsible for selecting and hiring staff that will work at the vocational training center. INFP will also hire the teachers

that will conduct the courses at the Vocational Training Center.

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?

- Yes
- No

Evidence

The project's sustainability approach will rest on three pillars: (1) institutional strengthening for INFP; (2) stronger links to the labor market; and (3) a calibrated phasing-out of external support.

Institutional strengthening actions will address the needs of the INFP as a whole, not only the BHVTC. I will be based on an institutional assessment of INFP's strengths and weaknesses (using a SWOT analysis) and a transfer of relevant best practices in SENAI's management of its own system, with a view to adapt to INFP's reality in field. Experienced SENAI project managers will be entrusted with the management of the technical cooperation activities and will promote the dialogue with Haitian authorities in all relevant domains, including vocational and occupational training policies and the Center's own work strategy with the support of UNDP.

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Quality Assurance Summary/PAC Comments