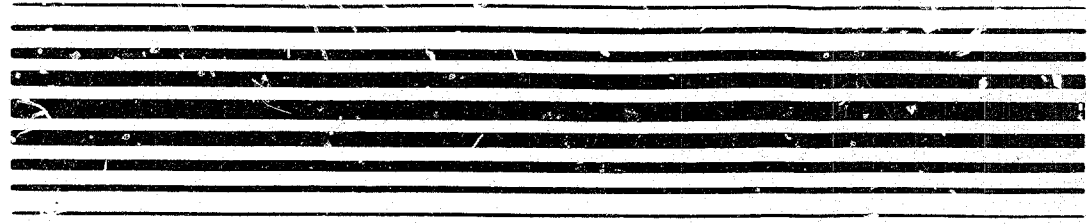


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**TRAINING FOR
DEVELOPMENT
EVALUATION PLAN**

June 29, 1990

For:
United States Agency for International Development

Prepared by:

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TRAINING FOR DEVELOPMENT EVALUATION PLAN

Final report -- June 29, 1990

**Evaluation planning team: Joshua Akong'a, Lee Cronbach,
Anne Fleuret, Harold G. Levine**

TRAINING FOR DEVELOPMENT EVALUATION PLAN

Executive Summary

Purpose and background. Training for Development is a unique effort that sends carefully selected Kenyans to the United States for individually tailored training programs of long or short duration. Both public and private sector individuals are included. These subgroups are diversified; a private sector trainee may be the owner of a small business or a second-tier employee in a branch bank, and a public sector employee may be a policy maker in a ministry or a technician in a parastatal firm.

A four-person team of social scientists was commissioned to draft a plan for a continuing longitudinal impact evaluation starting in 1990 (in midprogram) and ending in 1994 (the end of the current funding period). The evaluation is to produce interim reports to assist in improving project operations and policies during this funding period, to provide data-based suggestions for the design of a potential successor project, and to provide information that will permit judgment about how well the project has achieved its objectives. The evaluation is planned to document the extent and manner in which trainees capitalize on their training, and also to record and understand any difficulties or shortfalls.

Questions to be addressed. Overarching questions for the evaluation were framed by adopting, modifying, and extending a set of EOPS indicators previously developed within the project. The following phrases indicate succinctly the range of topics: characteristics of persons selected; satisfaction with the training; development of careers after return, including increases in confidence and fostering of change, recognition on the job, and changes in responsibilities; increases in the firm's size and prosperity (where trainee is at head of enterprise);

effectiveness in the workplace and in the community, with particular attention to the use made of the U. S. training; variables associated with greater effectiveness.

Evaluation strategy. The study will make full use of documents collected operationally in the course of selection and monitoring of training, which have not hitherto been systematically analyzed. The principal supplementary source of data will be a series of structured interviews with returnees and (on a sample basis) with superiors and associates.

Because trainees return to Kenya in an uneven flow, the date for a particular inquiry is pegged to the person's date of return. The evaluator's first interview is scheduled for six to nine months post-return. Departures from the plan to obtain all data at comparable dates will be necessary; for example, many trainees will be past the nine-month point when the evaluation starts. Three interviews are called for insofar as they are feasible, the second and third coming 18-21 and 30-33 months past return. These interviews can trace the extended impacts of trainees (both within the trainees' workplaces and, more broadly, in their communities), can examine the effectiveness of returnees who get new jobs or open their own enterprises, and can document whether in some cases initial enthusiasm and vigor taper off.

Reporting. Reports will be both formal and informal.

There are three types of formal reports: topical reports, semi-annual reviews, and an end-of-project summary. During the years of active data collection, topical reports will address the main evaluation questions or subquestions within them. Any such report will be written for the benefit of all interested parties, as a nontechnical communication. (For the topical report there will be supplementary documentation of a more technical nature that is distributed on an "as needed" basis.) The first report on a topic will be prepared when an adequate number of returnees have provided the relevant information;

thus a report about particular responses of short-term trainees will be available a year or more prior to a comparable report on long-term trainees. A topical report will be updated when and if a considerable body of new information comes in, or if more recent facts call into question the first interpretation.

The semi-annual review will provide a brief written summary by the evaluator of findings discussed during the preceding six months. This report is for use by USAID/K in its internal review.

Finally, the third type of formal report is an end-of-project recapitulation and update of all findings, with a comprehensive interpretation.

Timely informal reports, perhaps no more than conversational, will be made whenever the evaluator identifies a problem that project implementers should be aware of, or opportunities for helping a returnee to achieve his or her objectives.

Operational recommendations. It is recommended that a single experienced evaluator be engaged full-time for the first three years of the evaluation, with a decrease to half-time in the final year when active data collection has ceased. Continuity is of great importance, but guidelines are provided for a transition if the initial evaluator cannot continue after the second year. Qualifications of the evaluator are specified. The evaluation team found qualified persons in Kenya, but there is some question concerning the availability of some of them. The plan specifies steps to establish rapport with returnees and maintain appropriate confidentiality.

Background of the Evaluation Plan

Purpose. This paper presents a recommended evaluation design to assess the impact of "Training for Development" (TFD), a joint program of the Government of Kenya (GOK) and the United States Agency for International Development (USAID).

The evaluation plan calls for documenting both the successes of the trainees in capitalizing on their training, as well as any difficulties or shortfalls. The plan also proposes strategies to examine, when feasible, the circumstances that influence impact. Whereas most formal USAID evaluations of training seem to have been conducted by visitors coming briefly to the project site late in the funding period, and then questioning a limited number of staff and participants, we were asked to plan for continuing and systematic in-country data collection. The steady development of information will produce a proper history of project outcomes and will provide key audiences with informative and lucid reports as the information becomes available.

The purposes of the reports include these:

1. To permit interested individuals and groups to judge how well the project is attaining its objectives, and to do so in a timely manner.
2. To permit those setting and executing policy to improve decisions and services during the period for which funding is now committed.
3. To develop insights that can be used in 1993 when the sponsors expect to consider a follow-on project that would have similar overall objectives, but that could have somewhat different priorities and practices.
4. To provide data to USAID suitable for use in its periodic internal reports and reviews.

Beyond this, it has been suggested to us that this pioneering of a systematic, on-going training impact evaluation may ultimately contribute to USAID evaluation planning in other countries.

Planning activities. Before turning to the specific questions the evaluation will address, which derive from these overarching purposes, we summarize the steps taken in developing the plan.

The four-member team of Joshua Akong'a, Lee Cronbach, Anne Fleuret, and Harold Levine met in Nairobi from April 16 to 27, 1990 to plan the impact evaluation design for TFD. Prior to that meeting, Cronbach and Levine each interviewed two TFD participants attending schools in California and read through sample documents provided by Pragma Corporation about the program and individual participants. In addition, Cronbach spent three days in Washington DC, learning from Caroline Curtis and others about activities of the Pragma office, examining program documents and dossiers of trainees, interviewing two additional trainees, and discussing the evaluation with Larry Cooley of MSI and with Tom Moser of Pragma. Also, Cronbach examined archival documents assembled at the Academy for Educational Development and the USAID library, including both representative evaluations of out-of-country training and reports from study groups making recommendations about such evaluations.

While in Kenya, the planning team met with representatives of the four evaluation user groups - Pragma, the Private Sector Steering Committee, the Public Sector Steering Committee, and USAID/K - both to introduce the team and its tentative agenda, and to solicit from these audiences their probable evaluation data needs. The planning team spent the majority of its time debating the merits of various evaluation alternatives and writing (and critiqueing) drafts of key features of the overall design. Main questions for the evaluation were identified using as points of departure the scope of work dated April 9, 1990 and the annexed EOPS

document. On numerous occasions the team conferred with the evaluation users about these key features, and attempted to address their specific concerns and interests. Ms. Teresa Muraya of HRD and Mrs. Rosemary Wanjau of the Directorate of Personnel Management (DPM) met with the team frequently throughout this period and provided valuable advice and counsel to the team.

The evaluation planning team also designed and pilot tested an interview protocol for use with returnees and one for employer/supervisors. The team interviewed potential candidates for the evaluator position and collected additional resumes. Finally, the evaluation planning team prepared a bulletized list of the key elements of the TFD evaluation design. This was presented to a meeting of potential evaluation users for their comments and suggestions at a debriefing on April 26. (Individuals with whom we discussed the evaluation plan are listed in Annex A).

This report was drafted in the United States by Cronbach and Levine, and is ultimately their responsibility. However, both Akong'a and Fleuret have approved the main ideas of the evaluation plan following their review of an interim draft. As no provision has been made for statements of reservations, the reader should not assume that all four persons are in accord with every statement.

Questions to Be Addressed

The aims of the evaluator's work are best seen in the questions to be studied. These questions (stated succinctly below, and amplified in Annex D) reflect the general purposes for the evaluation as stated above, as well as the EOPS and higher-order outputs included in the logical framework matrix, and additional concerns expressed by the evaluation user audiences interviewed in Nairobi by the evaluation design team. A code phrase is appended to each question; when we later refer to a

specific question by number, the phrase will remind the reader of the thrust of the question.

1. What are the characteristics of trainees selected to date (including their training goals and plans)? How does this differ with respect to public vs. private, men vs. women, short-term vs. long-term training, professional specialization? (T. characteristics)
2. Do the returnees judge their training to have been appropriate? In what respects was it less than satisfactory? (T. report on training)
3. What are the usual courses of career development of trainees following their return? (Career development)
4. Does the returnee report increased confidence in his/her abilities . . .
 - (a) to perform more effectively on the job?
(T. confidence: work)
 - (b) to be an effective agent of change?
(T. confidence: change)
5. [*For returnees who are responsible for enterprises*]: By what percentage has each of the following increased since date of return (or since last report)? (Economic data)
 - (a) Number of employees in the firm
 - (b) Gross sales or intake of the enterprise
 - (c) Net book value of the firm
 - (d) Percentage of sales to the export market
6. [*For returnees not at head of enterprises*]: Has the returnee received increased recognition and responsibility on the job? Is the returnee viewed by others as more effective professionally after having U.S. training? (Job status)
7. Has the returnee been making a substantial contribution in the workplace since return (or in the economy more broadly)? To what extent does the returnee trace this

contribution to elements in the U.S. training?

(Work effectiveness)

8. Can the returnee cite instances of being effective in the community outside the workplace since return? To what extent does the returnee attribute any contributions to his or her community to elements in the U.S. training? (Community effectiveness)
9. What variables are associated with greater or less contribution by returnees? (Correlates of effectiveness)

The terms "leadership" and "professional leadership" are prominent in project documents and we were asked to keep this aspect of the training objectives prominent in the evaluation plan. We have done so, but many kinds of behavior desired in returnees can be regarded as aspects of leadership; we find it best to refer to them by more specific names. The following are examples of specific kinds of action about which the evaluator is to inquire.

Proposing innovations or changes in practice

Guiding the development of other persons

Disseminating ideas (e.g. about quality control) to persons
in the same field of work

Making contributions to community or work groups

Managing a work group effectively

Asking what the person has done that exemplifies such styles is a better technique than asking about abstract traits such as "vision" and "adaptability."

General Features of Evaluation Design

The evaluation design has the following general features:

1. The evaluation is scheduled to run for the four years remaining of the TFD program. It will allow a

longitudinal study of the development of returnees' careers and job and community impacts.

2. The evaluation will emphasize qualitative data - primarily from selective returnee and employer/supervisor interviews repeated over time. On some points, structured instruments will be used to obtain information that can be directly tabulated and summarized quantitatively.
3. For trainees who will depart after the evaluation is launched, there should be a strong predeparture effort to enlist their subsequent cooperation by stressing the evaluation goals and the nature and timing of their hoped-for contribution.
4. Reports should address somewhat different evaluation questions in each year of the evaluation effort. That is, data relevant to individual evaluation questions will "mature" as "waves" of types of trainees return to Kenya (see Annex C for details of the timing and types of reports). Every six months, synchronized with USAID/K procedures of program review, the evaluator will review highlights of interim topical reports and other observations to answer the basic question of "What has been learned about TFD during the past six months?"
5. Though a blueprint for the four-year life of the evaluation is provided, the evaluator is strongly encouraged to modify both the questions and research strategies as he or she becomes familiar with the situations of trainees and the interests of users. The evaluator will maintain constant contact with evaluation user groups to identify their evolving information needs.
6. Though the evaluation is primarily concerned with impact, it will augment data already being collected by Pragma on the process component of the training. Specifically, it will collect data on returnees'

satisfaction with their U.S. training and their ability to apply what they have learned. The evaluator will also speak to such users as Pragma or the DPM when problems meriting early consideration are identified. (We also recommend that stakeholders in the process evaluation thoroughly rethink training evaluation instruments and coordinate their efforts with the future TFD impact evaluator).

Particularly important in our thinking has been the appropriateness of an extended follow-up of returnees. TFD is an unusual, perhaps unique project, providing custom-tailored training for unusually qualified and remarkably varied selectees. It is appropriate to ask not only what contributions trainees make, but whether the training typically has a sufficient long-run impact to justify the intensive effort to individualize the programs and the high cost associated with some of the plans.

"Long-run" is to be emphasized especially in this program. The fact that a returnee has learned computer skills and applies them in his or her own work may be sufficient to justify the investment that was made. If, after the trainee has demonstrated what can be done, he or she becomes a resource for others in his workplace, providing them with training and advice, the sponsors should be better pleased with the return on investment. A still greater return is conceivable, however, if this returnee extends his or her expertise into firms other than their own, by offering training courses or organizing user groups for example. This extended "multiplier effect" may be the most significant impact of the training, but it is unlikely to be apparent on an appreciable scale in the first year after return.

Another consideration is that the training is tailored to fit both the individuals selected and the problems in their workplace that the training will help them solve. Although the returnees are expected to return to their workplaces, it is understood that in large organizations assignments will change. Occasionally, too, trainees will leave their positions and start

enterprises of their own. Only some time after return, when the returnee is settled into a second work role (if this does, indeed, happen), can one hope to judge whether the training was so specific to the original work role that it lacked long-term impact or that - gratifyingly - it was highly transferrable and promises to have a long-lived impact.

Evaluation Reports

Reports will be of several styles.

- 1. Conversational.** The evaluator will maintain regular contact with the staff of Pragma/N and the HRD office of USAID/K. There will also be occasions to interact with members of the Steering Committees individually. Within the limits of preserving confidentiality and avoiding premature conclusions, he/she should freely discuss his or her impressions of returnee successes and problems.
- 2. Informal signals on problems and opportunities.** The evaluator should inform Pragma/N or others in a position to take immediate action when he or she sees beneficial actions to be taken with regard to individual trainees, their U.S. programs, follow-on activities in Kenya, or reintegration of trainees to their workplaces. (Additional comments follow below.)
- 3. Topical reports.** When sufficient data accumulate either to warrant concerted, new data analysis (which will occur throughout the life of the evaluation) or to require an update of any of the key evaluation questions, the evaluator will prepare a written report. (See additional comments below).
- 4. Semi-annual reviews.** Twice a year, prior to the USAID/K internal program review, the evaluator will prepare a short summary of main observations and conclusions

from the preceding period for the use of the HRD Office. (Additional comments follow below.)

5. **Final summary.** A comprehensive, end-of-project report on what has been learned. This report will review earlier topical reports, update all information, and draw implications regarding the program as carried out and about future programs of the same nature.

Informal signals. The evaluator will be in an excellent position to identify difficulties faced by trainees and unexpected problems in trainee selection or the training itself. These problems can be "flagged" and referred to the relevant user. These reports will generally be oral and made to only one or two persons who will judge whether to act or not. The evaluator's role is one of signaling potential problems or opportunities, not making decisions. An example might be the identification of a misunderstanding about funding of trainees while in the U.S. that a change in predeparture orientation could be expected to circumvent.

Another example: while interviewing, the evaluator will notice opportunities for the kind of follow-on support that Pragma/N is now providing. Thus, a returnee may indicate that persons holding similar positions in separate institutions should be exchanging ideas, providing mutual support, or otherwise collaborating. The evaluator may properly encourage such thoughts, suggest that the returnee ask whether Pragma can help, and encourage Pragma to consider the case. This recommendation departs from the stereotyped view of the evaluator as a scorekeeper on the sidelines who never intervenes, but it is consistent with the spirit of TFD.

Topical reports. The main written evaluation reports probably should have a two-tier format. The first tier would be a readable text of a few pages (perhaps 3-5). The text should be more like a news story than like an executive "summary"; it should use anecdotes and direct quotes to give a vivid sense of

successes and problems. We recommend this style because a principal audience consists of extremely busy members of Steering Committees. They will wish to hear the evaluator's story, but are likely to set aside any bulky document.

Usually these reports will have a second tier that includes back-up materials providing fuller documentation, typically as annexes (see section below for further discussion of content of annexes). The longer documentation provided in the annexes would have the HRD office and Pragma as its main audiences, but should be available to recipients of the short text who request it (or sections of it). (Examples of two evaluation reports appear in Annex E; one is topical, and the other demonstrates the extended form of documentation.)

In keeping with the "news story" orientation, any one interim report should have a central theme rather than sweeping together whatever diverse information has come in during a time period. There may well be a number of such news reports during a year, prepared only after a sufficient number of cases have accumulated to make a report feasible. Only the integrative end-of-project report would cover a wide range of topics.

The evaluator should primarily tell the story of events in a way that permits others to judge what is satisfactory and unsatisfactory, rather than offer such judgments. However, he or she should give emphasis to those findings that seem to be most useful either to document successes or to raise questions about aspects of the project (e.g., the relation of length of training to potential benefits). The evaluator can appropriately state questions meriting attention.

Reports should carry caveats whenever data are sketchy. The reports should be candid, not slanted toward success stories. Reports can highlight policy questions to which the data are relevant but should be factual, leaving policy and value judgments to recipients. Draft reports will be submitted for review before they are finalized.

Data reduction and analysis for topical reports. The data analyses reported in the annexes will take different forms depending upon the evaluation question being addressed and the nature of the relevant database. Qualitative data reduction and analysis methods will be used, as appropriate, to document - in narrative form - both the successes and "failures" of individual trainees and to examine changes in trainee success over time. Such methods, and a narrative data presentation style, will also be used for thematic analyses (e.g., an analysis of "obstacles" to effectual impact, or of culturally sensitive indicators of job effectiveness), for analyses of returnees' perceptions of changes in their job effectiveness (with, for a subsample, corroborating data from employers/supervisors and/or fellow workers), and for discussions of changes in the returnees' conceptualizations of the change process and in their strategies as change agents.

Quantitative measures, on the other hand, will be employed to provide some measure of change in returnee status (e.g., in the form of increased responsibilities, promotions, salary raises), descriptive statistics of trainee characteristics (e.g., number of people trained by type of occupation), "balance sheet" types of analyses (e.g., number of employees in the firm; gross sales), and crosstabulations of outcome indicators compared by trainee characteristics, training, and work setting factors. The results typically will be presented as numerical summaries cast in the form of tables or charts, or embedded in narrative accounts.

Semi-annual reviews. In order to address USAID/K internal program reporting schedules, the evaluator will prepare semi-annual reports. These relatively brief, written presentations will summarize, in narrative form, the findings of the topical reports prepared since the last reporting cycle; update, as appropriate, cumulative frequencies related to programmatic achievements; and summarize, in tabular form, changes in the status of sub-groups of trainees (e.g., private, short-term). In addition, the

evaluator may very likely be asked by the HRD office to identify in this report the emerging topical areas (and evaluation audience concerns) to be investigated during the next six-month period.

Scheduling of Evaluation Operations

Recommended policies regulating the schedule. A number of principles must be balanced in scheduling data collection and reports. In developing a suggested schedule we have considered the points itemized below. They should be reconsidered continually as the evaluator revises the schedule in the light of a more accurate picture of the situation.

- 1. Data collection in our evaluation plan is geared to the time of departure ("D") and time of return ("R") which will vary for each trainee. Thus, in the abbreviation which we shall frequently use, the code "R + 3" indicates data collection for an individual three months after their return to Kenya. "D - 1", on the other hand, indicates data collection one month prior to departure. The target "R + ..." time points should be identified in the evaluator's overall plan for each trainee, together with the instruments and procedures to be applied at each date.**
- 2. The returnees' willingness to respond places a significant limitation on the frequency of questioning. We are confident that returnees will willingly supply two appropriately spaced interviews. There may be fewer who participate in a third interview because so much of their story has been previously told, and because loyalty to the project will erode with time. Still, we plan on a third interview as it is likely to yield worthwhile data. We recommend against scheduling four interviews for any returnee.**

3. Formal reports on subsets of trainees should be made after enough cases accumulate to warrant serious interpretation. Impressions based on fewer than six trainees in a given category may be of sufficient interest to some audience that they can properly be communicated if flagged as preliminary hints. Indeed, there might be informal communication between evaluator and user if the experience of only one returnee suggests a novel, potentially significant finding.

While no rule of thumb is adequate, a rough guideline is that 10 cases per cell would normally be the minimum for the main theme of a topical report. (A cell would be "private returnees who supplied information" when the private/public contrast is the topic.)

4. Because USAID/K will need to draw upon the evaluation as part of its semiannual review process, the evaluator must have reports on substudies ready by February-March and August-September of each year.
5. It is desirable to discuss different questions in each reporting period. This policy permits writer and reader to focus on what is news. New topics become ripe for discussion when sufficient data accumulate. Topics previously covered ought not be rehashed on the basis of a small number of additional cases unless those cases cast doubt on the previous conclusion.

Estimated flow of returnees. Because trainees depart for the U.S. and return at staggered intervals, evaluation activities should be essentially year-round. We have examined the flow of returnees (making projections of future return dates) and calculated the number of trainees who will be available for data collection at various times. Our estimates are found in Annex C, along with a proposed schedule for collecting data.

Instruments and their scheduling. Annex B provides a full account of the instruments on which the evaluation will rely. Basically, they fall into two sets: those collected operationally during the selection process and the development and monitoring of training, and those added for the purpose of the evaluation.

The documents now available in Pragma files include only biographical information on the trainee and a statement of his/her goals. They describe the program arranged for the trainee, and record the trainee's statements on the value of each segment of the experience. They include a comparatively formal (and immediate) post-return evaluation.

This base is remarkably complete, but we have added a questionnaire to be filled in about a month before departure, because a selectee may change his goals and future expectations when as much as a year elapses between application and departure.

To move toward impact assessment, we have added interviews with the returnee and (for a fraction of the cases) with a supervisor and/or with fellow workers (of equivalent or lower status). These interviews are to follow a structured pattern that will pose similar questions to each interviewee and yet allow for their diverse situations. The interview agenda are closely linked to the main questions of the evaluation, as can be seen at the end of Annex B.

We propose that each returnee be interviewed three times, once after he or she has been back in Kenya for approximately six to nine months, and again at yearly intervals. This schedule will be modified for early and late returnees, but when fully achieved it will give valuable information on the cumulative effect of the training and the evolution of the returnee's leadership - or, in some cases, of a tailing off of enthusiasm and innovation.

As an adjunct to the qualitative evaluation, a USAID/K form for collecting quantitative economic data is to be used if - after considering the whole plan, that appears advisable to the

evaluator. The questions would be posed only to those managers or owners who are in a position to make a substantial difference in the number of employees and the balance sheet.

Ideally, these economic data forms would be mailed to returnees on a regular basis. However, we have been advised that mail surveys of this sort typically are not successful in Kenya, due both to the local mail system and to the lack of discretionary time of the returnees to complete such surveys. We propose, instead, that they be administered by the evaluator when he or she undertakes the yearly interview as described above.

Recommended Administrative Arrangements

Level of effort. We envision a single experienced evaluator who becomes thoroughly familiar with the information on all the individuals (except, perhaps, the very late returnees). Having considered alternatives that might divide responsibility between two or more investigators, we do not recommend such an approach. It gives much less assurance that the field work will be of high quality and that the report writer has full knowledge of the cases.

In the first year the evaluator will organize files, fill gaps in information previously filed, and code data for the computer. Before data collection can begin on a regular basis, instruments need to be put in final form. Even so, the evaluator should move promptly into data collection because numerous selectees and returnees are already at the point in their time schedule when an interview or other probe is called for. There is more such work to be done in the early days of the evaluation because of the backlog of trainees who have been back in Kenya for a year or more. Even during this start-up period, there obviously will be a demand for evaluation reports.

The evaluator's duties will shift as the work progresses. Once the schedule is established the project secretary can make the necessary mailings and can enter much of the information

from responses into the computer. The evaluator will continue to have a large number of interviews to make and will have fuller case histories to digest. By 1992 the data become sufficient for contrasts of broad subdivisions of returnees, which permits a beginning of judgment about explanations of effects and noneffects.

Late in 1993, data collection will be reduced to a minimum, and the main effort in 1994 will go into organizing the final report. It should update and strengthen (or revise) answers to all questions which were covered in prior reports but based upon incomplete returns.

This work calls for a full-time evaluator (with qualifications as discussed below) until mid-1993. After that, it may be desirable to scale the evaluator back to half-time. The work also requires a half-time secretary.

The lone evaluator we envision will probably require backup from an adviser who has greater experience in collecting, encoding, and interpreting qualitative information. A limited number of consulting days per year would do much to ensure the social science quality of reports. One option is to engage a resident of Kenya such as Joshua Akong'a or Anne Fleuret; the other is to bring a qualified evaluator from the United States. We do not recommend between the choices.

Services of a resident expert will be much less expensive and can be spaced more evenly. We recommend four spaced weeks (20 days) of consulting in the first year, and 5-10 days in subsequent years primarily for review of draft reports. If a U.S. consultant is brought in, we recommend a visit of not less than eight working days 3 to 6 months after the evaluator starts to work. The same consultant can usefully return for five working days 12 months later, when analysis and interpretation are becoming more intensive.

Contracting options. The planning team considered three contracting options for the evaluation. We begin with the one we favor.

1. **Full-time evaluator hired under an A.I.D. Personal Services Contract.** This approach would engage an individual completely dedicated to the TFD evaluation and fully accountable to the various user groups. A further advantage is that a single individual would assume coordinating responsibility for all phases of the evaluation, thereby ensuring uniformity of effort. With thorough screening of candidates it should be possible to select someone with the diverse skills the evaluation requires.

The disadvantage is that a four-year commitment may be hard to obtain. At best, one could not be confident that the person will remain on the job. We should insist on an ironclad two-year commitment from applicants reaching the short list; provision for handoff to a successor must be a clear contract requirement. Handoff would include personal introductions to the returnees of the new hire by the outgoing evaluator. There are minor details to be worked out under this option, having to do with specifics such as office space, telephone, a microcomputer, and secretarial help. Insofar as we can judge, this option is the most promising.

2. **Full time evaluator hired by Pragma.** A second possibility is to contract with Pragma to provide facilities and engage an evaluator who would be chosen as under option (1). This simplifies budgeting and the logistical matters. However, questions do arise about the independence of the evaluator, the appearance of integrity in the evaluation, and the commitment to an impact rather than a process evaluation. Process is appropriately the main concern of Pragma officers.

Possible "conflict of interest" per se is not necessarily a ruling consideration.

3. **Contracting with a consulting firm.** Some parts of the evaluator's responsibility - notably interpretation and reporting to multiple audiences - would benefit from a high level of sophistication. Fieldwork and data organization, although demanding, are tasks usually performed by suitably trained juniors. A consulting firm could provide a mix of junior and senior talent. The planning team did interview two individuals from one apparently excellent firm and discussed our reservations with them. We were told that in their mode of operation a senior investigator would monitor the TFD evaluation at all times, and would himself collect data; and that the senior members of the firm would be responsible for data analysis, evaluation reports, and the like. Upon further probing it became clear that the senior investigators had other major responsibilities (nominally full time) and that at least some data collection would probably be conducted by graduate students. When we add in the risks that the juniors would be given more responsibility than they should carry and that there tends to be considerable turnover among junior staff, we came to view the option of a consulting firm as undesirable.

We turn now to a question we have been often asked, "Does the workload require a full-time evaluator?" The planning team believes that it does, at least for the first three years of the effort. The work scope calls for introductory meetings with, and data collection from, all departing (future) trainees, close liaison with Pragma/N and Pragma/W, at least two (and, most likely, three) waves of interviews with returnees, project monitoring, report writing, coordination with evaluation user groups, and the like. Generally, the evaluator will be operating on most of these fronts at the same time.

Beyond this are two other important considerations. (a) A less-than-full-time evaluator will have other work commitments and thus be less able to respond in a timely manner to the requirements of the TFD evaluation. (b) It will probably be difficult to hire a qualified half-time person. It appears from our interviews in Kenya that typically a qualified Kenyan is already employed in a University or research setting that guarantees security of employment. A well-qualified person is more likely to be attracted to full-time employment while on a leave of absence from any position they may currently occupy.

Qualifications of the evaluator. We believe that the evaluation will be best served by hiring an evaluator with the following characteristics:

1. Experience with, and expertise at, multiple strategies for qualitative data collection, data reduction, and analysis
2. Skills in interpreting social-science data and drawing inferences (and communicating them)
3. Interviewing skills
4. Sophistication concerning interagency relations; maturity in relating to evaluation user groups and returnees
5. Skill in project management
6. Experience in creating a computerized data base
7. Willingness to commit to a multi-year contract

An important step in reducing the final short list of candidates is to have a qualified social scientist read and judge one or more reports that the candidate has prepared previously that draw conclusions largely from qualitative data. (This intention, if included in the original announcement, will eliminate many applicants whose experience does not match project needs.)

Availability of a suitable evaluator. We have been impressed by the credentials of Kenyan social scientists that were submitted to us, and with the few individuals we could interview during our short visit. Some further comments on our observations appear in Annex G.

The list appears to be short, however, and it is reduced further when we add to the criteria of availability and demonstrated competence the preference for a Kenyan as evaluator. There appear to be good reasons for this preference.

Even after considering the limitations, we think that the probability of obtaining serious applications from two or three suitable candidates is good. (During the month of May further search for qualified candidates was to have taken place. We have not yet received information from it.)

Project Administration

A key to success is thoroughgoing project administration. We recommend the following administrative guidelines.

Prior to departure, the evaluator will meet each trainee (individually or in small groups) to introduce him/herself and the purpose of the evaluation. Also at that time the evaluator will notify the participants of each phase of the evaluation process upon their return and of their own roles in it. Thus, the evaluator will tell the trainees of any structured instruments, personal interviews, and telephone interviews that are to be conducted. The amount of trainees' time and data collection scheduling will also be discussed. Procedures for confidentiality are to be discussed as well.

During the trainees' visit in the United States, the evaluator will send letters to all trainees re-introducing him/herself and the evaluation plan. Occasional articles on evaluation activities will also be prepared for the IFD Times.

Confidentiality. The evaluator must assure returnees that their comments are confidential - with all exceptions and qualifications made explicit to them in advance. Otherwise, returnees may be less than frank in reporting their experiences, because of the possibility that they would get back to their superiors. Also, they may feel that negative comments will limit their future opportunities for U.S. or Kenyan training. Prior agreement of the interested parties with the rules regarding confidentiality is needed to prevent the evaluator from having to make difficult choices between claims of "need-to-know" and "right-to-privacy." Whatever choice is made, one party may become angered or offended; any awkward incident will reduce the credibility and effectiveness of the evaluator.

In line with our suggestion that the evaluation effort, and their individual roles in it, be fully explained to future trainees as a condition of being accepted into TFD, we also strongly argue for discussing issues of confidentiality and anonymity at the same time. Rather than promise complete, "across-the-board" confidentiality we propose some detailed ground rules spelled out in Annex F.

Concluding Remarks

Our task has been to plan a worthwhile evaluation effort, likely to be trustworthy and instructive, on the assumption that USAID would make the financial commitment needed for a substantial impact assessment. It was never our assignment to advise USAID on the wisdom of this expenditure vis a vis competing claims on its funds.

Much is to be learned from the evaluation we have outlined. On the one hand, the steady flow of information on returnees will help the project in follow-on services and give leads for the modification of selection and training. Knowledge about conditions favoring maximum impact should be valuable for the present phase and any next phase of TFD in Kenya, and also for much broader policies of USAID.

ANNEXES

- ANNEX A. PERSONS CONSULTED ABOUT TFD AND ITS EVALUATION**
- ANNEX B. PROCEDURES AND INSTRUMENTS**
- ANNEX C. DATA FLOW AND REPORTING SCHEDULE**
- ANNEX D. TASKS OF THE EVALUATOR AS RELATED TO QUESTIONS OF THE STUDY**
- ANNEX E. FURTHER REMARKS ON REPORTS, WITH ILLUSTRATIVE EVALUATION REPORTS**
- ANNEX F. RECOMMENDED GROUND RULES ON CONFIDENTIALITY**
- ANNEX G. NOTES ON INTERVIEWS WITH POTENTIAL EVALUATORS**

ANNEX A. PERSONS CONSULTED ABOUT TFD AND ITS EVALUATION

In Washington and Falls Church

Larry Cooley, head of MSI, subcontractor for management and leadership seminars offered in TFD

John Gillies, Consultant to Academy for Educational Development

Staff of the Pragma office

**Melanie Sanders, Project Director
Caroline Curtis, Placement Coordinator
Kate Dickey, Assistant to Curtis**

In Nairobi

USAID officials

Steven W. Sinding, Director

**Marcia Bernbaum, HRD Office
Thomas Ray, HRD Office
William James, HRD Office
Teresa Muraya, HRD Office**

**Carol Steele, Program Office
Gary Moser, Program Office**

**Sandi Severn, Projects Office
Jerry Tarter, Projects Office
Carla Barbiero, Projects Office**

Steering Committee members, public and private sectors

**Mr. Wanjala wa Muricho, Directorate of Personnel Management
Mrs. Rosemary Wanjau, Directorate of Personnel Management
Mr. Tom Owuor, Federation of Kenya Employers
Mr. C. Gathirimu, Chamber of Commerce
Mr. J. Kuria, Kenya Association of Manufacturers
Dr. P. Kariuki, University of Nairobi
Dr. C. O. Okidi, Moi University**

Pragma office

Mr. Alfred Bisset, Field Coordinator

Ms. Susan Githuku, Program Assistant

ANNEX B. PROCEDURES AND INSTRUMENTS

This annex lists, with little or no discussion, the data sources for the evaluation. The latter part of the annex displays the major instruments drafted by the team. When procedures will be administered, and how they will be used are indicated at appropriate points in Annexes C and D.

Documents produced operationally, prior to departure and during training

The selection process has produced the following documents either for all trainees or for trainees selected in a recent cycle. They provide information on the trainee's preparation and responsibilities prior to selection, and initial purposes for training.

1. Application blank
2. Statements made by employer or other reference

Comment: These statements are not uniform in richness and quality. In one instance the statement was prepared in the handwriting of the trainee (using the third person style) and signed by a family member who was his superior.

3. Notes from site visit (recent cycles). Other notes if there was an interview at Pragma/N
4. Ratings made by selection committee
5. Notes on statements made during interview (incomplete)

Following selection, Pragma builds up extensive documentation on aims of training, arrangements for it, and reports of progress. This constitutes the record of what TFD delivered to the selectee, i.e., of what could have had impact. Also, these papers amplify and update the information noted above.

Much of the information is too fine-grained and person-specific to be worth capturing for the evaluator's file. The

evaluator should obtain for his/her file the comparatively standard materials listed below; personalized details can always be obtained from Pragma as need arises.

Comment: Materials transferred from Pragma/W to Pragma/N are often nearly illegible, perhaps because of difficulties in Xeroxing what the trainee has written in blue ink. Better copies can and should be obtained.

- 1. PIO/P biographical data sheet; summary of training: purpose and plan**
- 2. One-page participant description, prepared by Pragma/W to "introduce" trainee to U. S. contacts.**
- 3. Final report. Succinct summary by Pragma/W of what trainee did, what changes in program were made, and why.**

Instruments added for purposes of the evaluation, predeparture

- 1. Pre-Departure questionnaire. It is proposed that this be mailed routinely to trainees about one month before departure. This will put some basic questions in standard form to all departees. More important, it will update statements of goals and work experience that were recorded during the selection process, which may have been more than a year earlier.**
- 2. Economic data form. This is a small set of structured questions taken from the CLIENT BASELINE DATA FORM of USAID. The questions are included at the request of members of the USAID staff. If retained they would be placed within the predeparture questionnaire of selectees in the private sector who are partners or managing heads of their firms.**

For persons on whom baseline data was established, the same questions would be administered at the time of the first post-return interview, approximately 9 - 12 months after return. For that use, the questions - with a suitable introduction - would be sent by mail a month prior to the interview so that the respondent can collect comparatively accurate information. The information would be picked up during the interview, or, if the mailing did not reach the respondent, a second copy would be left to be sent in later.

The questions are in a "What is ...?" form, entirely useful for persons who wrote down baseline data against which change can be judged. A large fraction of the relevant trainees, however, are too far along to give such baseline data. The final form of this instrument, if used, for such persons, should be discussed by the evaluator with persons on the staff of USAID/K so that the data can be assimilated into their analyses of all their programs. It may be advisable to state the question as "What percent increase in ...?" Asking the question about change permits interpretation of data collected at only one point in time. Moreover, S. Severn of USAID/K tells us that respondents have been readier to report percentages than absolute amounts. The mode of post-return administration for these persons would be that described in the preceding paragraph.

Post-training evaluations collected operationally

As the trainee returns to Kenya, Pragma routinely requests two reports:

1. Post-program debriefing form. Usually filled out when returnee passes through Washington at time of return. Responses from most others are collected by Pragma/N.
2. Post-program essay. Returnees are asked to write a few pages describing and evaluating their experience.

Comment: These memoranda, due 2-3 months after return, are provided by only a fraction of the trainees. They are often superficial with respect to the extent to which the training was being put to use in Kenya and any shortfall from initial goals. Also, some are nonevaluative, constituting merely another summary of the content of the returnees' training. When they are evaluative, however, they offer prime data.

The evaluator may find that, to be most suitable for evaluation purposes, some questions (pre- or post-) should be worded somewhat differently from those in the present operational instruments. The operational instruments themselves are modified from cycle to cycle, hence change can be contemplated. The evaluator should suggest changes in such instruments where that will increase interpretability or the comparability of earlier and later data. Changes for the

purposes of the evaluation should be cast so as not to impede the operations themselves. Any new operational instruments developed in the future for purposes of Pragma or the selectors should be discussed with the evaluator to maximize usefulness for both purposes.

Post-return instruments added for purposes of the evaluation

- 1. Interviews are to be conducted at two or more points following the trainee's return. The interview is structured so that information will be collected from all returnees about the main questions of the evaluation that are applicable to him/her. The questions to be posed appear later in this annex.**
- 2. There is a companion interview to be used with selected employers or supervisors of returnees. It is similar in character. The questions to be posed appear following the schedule for trainee interviews.**
- 3. It is proposed to interview a limited number of co-workers of returnees (of equivalent or lower status) in a similar manner. The needed schedule to guide that interview has not been written by the planning team, but the instrument would parallel, in both form and content, the interview agenda described under 2 above.**

Specimen instruments drafted by the team**Data Update****(letterhead of evaluation)****August 3, 1991****Mr. Adam Armingo
(address)****Dear Mr. Armingo:**

At this time, one month before your departure for the United States, our evaluation of Training For Development needs to check some information from the project files and learn something about your current aims and expectations.

1. Please correct the following entries if they are incomplete or incorrect.

Organization: *Ministry of Education*

Position: *Program officer for training of educational specialists*

Number of employees you supervise (approximate): *3*

2. Do you expect to return to the same organization after your training?

Yes ___ No ___

If No, what do you expect to be doing professionally after your return?

3. The summary given here of your main goals is based on an earlier document. Please revise as appropriate to reflect your present aims.

1. *To learn techniques of needs assessment with particular application to development of school staffs.*

2. *To improve my skills in interviewing for evaluation purposes.*
3. *To become acquainted with the variety of continuing education offered to educational specialists in the U. S.*

Other: _____

4. How well does the training plan developed for you appear to serve these purposes? (check one)

- Highly satisfactory; I expect to achieve the goals fully
- Generally satisfactory but falls short of what I hoped for
- Worthwhile, but does not really fit my needs
- Unsatisfactory

Indicate briefly the ways, if any, in which the program plan differs from the training you would desire.

Economic Data**Participant:** _____**Date:** _____**Size of enterprise: Number of employees**

	MEN	WOMEN
FULL-TIME	_____	_____
PART-TIME	_____	_____
NON-PAID	_____	_____
TOTAL	_____	_____

Annual sales volume: Ksh. _____**Total assets: Ksh.** _____
(Net book value)**% of sales exported:** _____

Interview Agenda: Returnees

Introductory

1. Interviewer introduces self and purpose of the interview regarding evaluation goals.
2. Tell me a bit about what has happened to you professionally since you returned from the U.S. (or, as appropriate, since last interview). [Interviewer is to get a brief job history for this period of time.]
3. Tell me a bit about your current job responsibilities.

Relation of training to impact

4. What were your goals and expectations about the training before it began? Did you have to modify any of them in the course of your training? What, if any, goals and objectives have you implemented in your workplace?
5. You've been back for ___ months now. Which, if any, elements of your U.S. training have you been able to use directly in your job? Has this changed over time? [If returnee has just returned this question will not be appropriate; if returnee has been interviewed previously after his/her return the question can be rephrased to "... since your last interview with us?"] Are there any elements you weren't able to use? Are there any elements you really needed that you did not get?

NB: Interviewer is to elicit details of the elements applied, as well as those that the trainee has not been able to use.

6. Since your return to Kenya what changes, if any, have you made in your personal life? What kinds of contributions, if any, have you been able to make outside of work -- e.g., in your community? Is there anything about your formal training, or about the outside exposure you got while in the U.S., that you feel has led to these changes or contributions?

NB: Interviewer is to follow up with a direct probe for the experience in the U.S. that the interviewee does not mention (i.e., if the person talks about formal training, the interviewer follows up with a question about general, outside exposure). Also, when the question of outside exposure arises, probe for its impact on them in their jobs.

Job effectiveness

7. Would you say that you are effective at your place of work? What makes you think so?

NB: Interviewer is to probe for qualities of effectiveness. Ask for an example.

8. Some researchers outside Kenya have come up with a number of things which they believe are important for effective job performance. I'm going to give you a list of these and ask you to please tick the ones that are important for you in your job here in Kenya. Of course, not all of these will be applicable to your particular circumstances, but do check the ones that are.

- (A) Ability to work with others**
- (B) Ability to motivate others**
- (C) Productivity**
- (D) Knowledge/comprehension of field**
- (E) Adopting time/money saving strategies**
- (F) Helping to resolve conflict between persons, between persons and an organization, or between organizations**
- (G) Assisting others at my workplace in doing their jobs better**
- (H) Helping others in my occupation, outside my workplace**
- (I) Innovating -- bringing in a new technology, organizational scheme, ideas, products, or services**
- (J) Influencing the goals and policies of my organization**
- (K) Other**

Note to interviewer: These items are to be presented to the returnee in a printed list with a place to tick for each one. The returnee, after filling it out, then gives it back to the interviewer who then asks for an example of effectiveness for each one ticked (or the most important ones, as identified by the informant, if many are selected). Please get as much detail as possible, including asking the returnee to "role play" what he/she said/did and what others said/did. The goal is to learn as much about the event/situation as necessary for the evaluator to make a determination of the kind and level of "effectiveness" it represents (or doesn't).

After examples have been elicited, the interviewer hands the sheet back to the informant and makes the following request: "I'm going to ask you to rate yourself on each of the items you've ticked. I'd like to know how effective you feel you've been over the last ___ months. Please do not be modest. Use a 10-point scale, with '10' being highly effective and '1' being least effective."

After the informant has completed the rating, ask him/her to think back to the time immediately before they left for the United States and to rate themselves again on each of the items ticked. Again, respondents are to use the 10-point scale to determine how effective they felt themselves to be prior to their departure for the U.S. This rating will appear to the right of the earlier one. Once completed, the interviewer collects.

Impediments to impact

9. Some people we've talked with have mentioned some problems in trying to put their training to use.
 - (A) The necessary technology is simply not available in Kenya, or only at a cost too great for me or my organization/bureau/business
 - (B) In my work environment, my superiors/associates are indifferent to me, and seem to be waiting to see what I will do and how I will conduct myself
 - (C) People with whom I work are somewhat resistant to change
 - (D) I tried to do too much too soon; the organization/bureau/business I am in changes much more slowly
 - (E) The training I got does not have direct relevance to my current job

- (F) I was switched from the field in which I had been trained and my current position doesn't make use of skills I learned in the U.S.
- (G) What I wanted to do is more appropriate for American society than it is for Kenya
- (H) My family is not as supportive of my U.S. training as I would like
- (I) Other

Note to interviewer - As before, these items should be presented to the participant as a printed list with a place to tick for each. After the returnee fills out this checklist, probe for details and examples for each tick. When done, be sure to ask again whether there are OTHER obstacles to implementation that they have encountered.

10. During the next six months, what kind of additional changes would you like to see in your work that you have not yet been able to effect or have only just started? What about a year from now?

NB: Additional probes - Are there any changes in your organization's/company's/department's/bureau's goals or structure that you would like to bring about in six month's time? In a year's time? Do you have any plans for changing your work or starting up an additional activity on the side?

Self-knowledge: Strategizing change

11. Did you have any experiences (outside of your formal training) or formal training in the U.S. about how to make changes in your work life or organization? If so, what kinds of training or experiences were they?
12. Looking back over your experiences of the past ____ months, do you see different ways in which you could have introduced changes?

NB: Interviewer is to probe for any thoughts the informant has about the timing of changes, his/her awareness of the organizational climate in which the changes are to be introduced, his/her re-entry into Kenyan society and the implications for having been away, and his/her sense of any aspects of the organizational culture which might affect the change process.

Returnee Interview Checklist #1

[Comment: This is used during the interview.]

Name _____ Date _____

Some researchers outside Kenya have come up with a number of things which they believe are important for effective job performance. I'm going to give you a list of these and ask you to please tick the ones that are important for you in your job here in Kenya. Of course, not all of these will be applicable to your particular circumstances, but do check the ones that are.

**IMPORTANT TO ME
HERE IN KENYA**

- | | |
|--|-------|
| A. Ability to work with others | _____ |
| B. Ability to motivate others | _____ |
| C. Productivity | _____ |
| D. Knowledge/comprehension of field | _____ |
| E. Adopting time/money saving strategies | _____ |
| F. Helping to resolve conflict between persons, between persons and an organization, or between organizations | _____ |
| G. Assisting others at my workplace in doing their jobs better | _____ |
| H. Helping others in my occupation, outside my workplace | _____ |

**I. Innovating - bringing in a new technology,
organizational scheme, ideas, products, or
services**

**J. Influencing the goals and policies of my
organization**

K. Other

Returnee Interview Checklist #2

[Comment: This is used during the interview.]

Name _____ Date _____

Some people we've talked with have mentioned some problems in trying to implement their training at their jobs. Has any of the following seriously limited your effectiveness?

- A. The necessary technology is simply not available in Kenya, or only at a cost too great for me or my organization/bureau/business
- B. In my work environment, my superiors/associates are indifferent to me, and seem to be waiting to see what I will do and how I will conduct myself
- C. People with whom I work are somewhat resistant to change
- D. I tried to do too much too soon; the organization/bureau/business I am in changes much more slowly
- E. The training I got does not have direct relevance to my current job
- F. I was switched from the field in which I had been trained and my current position doesn't make use of skills I learned in the U.S.
- G. What I wanted to do is more appropriate for American society than it is for Kenya
- H. My family is not as supportive of my U.S. training as I would like
- I. Other

Interview Schedule: Employer or Supervisor

Name of returnee _____ Date of interview _____

Name and position of interviewee _____

1. Tell me about what has happened to _____ since his/her return from the U.S.
2. Tell me a bit about his/her current responsibilities.
3. Would you say _____ is effective at his/her job since returning from the U.S.? What makes you think so?
4. Some researchers outside Kenya have come up with a number of things which they believe are important for effective job performance. I'm going to give you a list of these and ask you to please tick the ones that you look for among employees like _____ (NB: enter name of returnee) here in Kenya. Of course, not all of these will be applicable to your particular circumstances, but do check the ones that are.
 - A. Ability to work with others _____
 - B. Ability to motivate others _____
 - C. Productivity _____
 - D. Knowledge/comprehension of field _____
 - E. Adopting time/money saving strategies _____
 - F. Helping to resolve conflict between persons, between persons and an organization, or between organizations _____
 - G. Assisting others at the workplace in doing their jobs better _____
 - H. Helping others in his/her occupation, outside the workplace _____

I. Innovating - bringing in a new technology, organizational scheme, ideas, products, or services _____

J. Influencing the goals and policies of my organization _____

K. Other _____

Note to interviewer: These items are to be presented to the employer as a printed list with a place to tick for each one. The employer, after filling it out, then gives it back to the interviewer who then asks for an example of each one ticked (or the most important ones, as identified by the informant, if many are selected). Please get as much detail as possible.

After examples have been elicited, the interviewer hands the sheet back to the informant and makes the following request: I'm going to ask you to rate _____ on each of the items you've ticked. I'd like to know how effective you feel he/she's been over the last ___ months. Use a 10-point scale, with 10 being highly effective and 1 being least effective. After this is done, the interviewer asks the employer to rate the individual on the same items as he/she had perceived them to be before they went to the U.S. for training.

Interviewer then asks informant to give an example of how the trainee has recently been effective in this area.

5. a. Would you say that _____ has gotten increased responsibility on his/her job? Whether "yes" or "no," please explain.

b. Would you say that _____ has gotten increased recognition for the job he/she has done? Please give details.

NB: Interviewer is to probe both for "hard" data regarding changes in status (e.g., promotions) and for other indicators such as the trainee is more frequently sought out by others for advice or knowledge.

Checklist for Use with Employer or Supervisor

[Comment: This is used during the interview.]

NAME (OF EMPLOYER/SUPERVISOR) _____

NAME (OF TRAINEE) _____

DATE _____

Some researchers outside Kenya have come up with a number of things which they believe are important for effective job performance. I'm going to give you a list of these and ask you to please tick the ones that you look for among employees like _____ here in Kenya. Of course, not all of these will be applicable to your particular circumstances, but do check the ones that are.

**IMPORTANT TO ME
HERE IN KENYA**

- A. Ability to work with others _____
- B. Ability to motivate others _____
- C. Productivity _____
- D. Knowledge/comprehension of field _____
- E. Adopting time/money saving strategies _____
- F. Helping to resolve conflict between persons,
between persons and an organization, or
between organizations _____
- G. Assisting others at the workplace in doing their
jobs better _____
- H. Helping others in his/her occupation, outside
the workplace _____
- I. Innovating - bringing in a new technology, _____

organizational scheme, ideas, products, or services

J. Influencing the goals and policies of my organization

K. Other

ANNEX C. DATA FLOW AND REPORTING SCHEDULE

Estimated flow of returnees. We have examined the flow of returnees to learn how rapidly data on various groups of returnees will become available in sufficient quantity to justify reports. The counts in a table that follows show how many returnees are on hand at the end of five semiannual blocks placed with an eye to the USAID/K semi-annual review. (Our counts are far from precise. Projections for late 1993 and for 1994 are too speculative to present. Some numbers reported here are based on estimates of the sizes of groups to be selected from May 1990 onwards.)

For the sake of an overall view, the counts have been organized in terms of four major arbitrary "maturities": R + 3 (read as "3 months past date of return 'R'), R + 6, R + 18, and R + 30. These dates represent ideal targets; in actuality, we expect a three-month data collection phase following each target date. Thus, R + 6 data will actually be collected from R + 6 through R + 9.

The schedule of data collection may be altered from what is recommended below, but the interpretation based on a modified schedule will have a logic like that of the one given here.

In the table on the next page, letters such as (a) suggest when information of certain types is likely to be ripe for a sufficient number of cases to warrant formal summary. The information would normally come from all the procedures applied to the relevant informants up to the date of report. The time allowed for our work did not allow us to make a report-by-report count of numbers of cases. The number(s) of cases will frequently be lower than the number in the cell(s) beside which a letter appears. For example, 9 Pub s trainees reach point R + 18 by Feb 91; some of these will reach that point too late for the R + 18 interview (the first rather than the "second" for them), and some will be closer to the R + 30 point leading the evaluator to delay their interview until the the next six-month period. On the other hand, it will sometimes be possible to draw in information from cases "higher" in the table, and we did not generally flag those possibilities.

Cumulative count of returnees at each reporting date

	Feb 91	Aug 91	Feb 92	Aug 92	Feb 93
<u>R+30</u>					
Pub s	3	8	12(g)	15	17
Prvt s	0	0	6	15	15
Pub L	0	0	0	1	3
Prvt L	0	0	0	0	2
Total	3	8	18	31	37
<u>R+18</u>					
Pub s	9	12(c)	14	17	17
Prvt s	4	13(c)	13	19	19
Pub L	0	1	4	13	14
Prvt L	0	0	2	5	8
Total	13(a)	26(d)	33	54	58
<u>R+9</u>					
Pub s	5	5	8	8	8
Prvt s	8	12(e)	14	14	14
Pub L	1	6	24(h)	25	29
Prvt L	1	4(e)	5(h)	8	9
Total	15(a)	27(d)	51(i)	55	60
<u>R+3</u>					
Pub s	3	6	6	6	6
Prvt s	4	6	6	6	6
Pub L	5	13(f)	13	17	30
Prvt L	3	4(f)	7	8	22
Total	15(b)	29	32	37	64

The letters s and L refer to short and long terms. Entries are cumulative numbers of returnees who will have supplied real-time data. By Feb. 1991, for example, only 3 Pub s returnees will have been back in Kenya for 30 months; these can supply only retrospective data for the other time points. In contrast, some of the 12 Pub s returnees listed under Feb. 1992 could have supplied R + 18 real-time reports by Feb. 1991. In general, a person can appear two or three times, moving upward and to the right. Logically, the table would be continued to August 1994; but many assumptions would be required to make that extension.

Regarding letters such as (a), see text.

Before projecting what the summary reports can be expected to contain, we list the instruments scheduled at successive points.

A proposed schedule for collecting data from trainees. Entries here are identified with respect to departure date "D" and return date "R". D - 24, for example, is two years prior to departure.

D - 24 to D - 4 (approximate). Information now collected operationally for selection and for planning of training.

D - 1. Predeparture questionnaire (see Annex B).

R to R + 1. Information now collected operationally at debriefing.

R + 3. Essay by returnee will be on hand (or else is unlikely to come in)

R + 6 to R + 9. Intensive interview number one. Interviews with some employers and peers. Economic data collected as appropriate.

R + 18 to R + 21. Intensive interview number two. Economic data collected as appropriate.

R + 30 to R + 33. Intensive interview number three. Economic data collected as appropriate.

Many early trainees will be past such a target point as R + 6/9 when the evaluation starts. It is not appropriate to interview each such trainee at the earliest possible date. Let us assume for the moment that two of the target points for interviews are R + 18/21 and R + 30/33. Then a returnee who is at R + 28 when the evaluation begins should be scheduled for questioning a few months later, in the interests of greater comparability across respondents.

Trainees who return near the end of the project will not reach a point such as R + 6/9 by the time the evaluator stops

work. There may be little value in collecting partial, early information on these last cases, unless the evaluator's previous experience shows that a report collected shortly after return does indeed correspond closely to reports the same returnee has given at dates later than R + 6/9.

Content of prospective reports. These reports correspond to entries in the table.

Feb. 91

(a) Summarizes experience of short-term trainees during early months after return. Covers economic data, use of skills, recognition on job. Would draw on persons who receive the "R + 18/21" interview during this period providing perhaps 20 cases in all about whose early experiences there is substantial information. Too few cases for Private/Public contrast.

(b) Summarizes reactions of recent returnees to the training. Can draw also on forms from past trainees, so number of cases sizable. Can contrast the four groups.

(Not represented in the table is the possibility of a report on Question 1, surveying the characteristics of selectees, by group. This would not be tied to date of return.)

Aug. 91

(c) Summarizes R + 18/21 experience of short-term trainees, including mature reflection on how training has helped and perceptions of leadership in the workplace.

(d) Combining R + 6/9 and R + 18/21 data permits a private/public contrast (predominantly short-term).

(e) A summary of economic data is possible. (As data come only from private-sector, Level-1 managers, data will be much scantier than the numbers in the table might suggest.)

- (f) Offers a better-founded review of long-term trainees' judgment of their training than was possible earlier.
- (g) For public, short-term returnees, can reach some judgment as to whether reports after longer lag time differ in tone from early reports. In particular, does use of skills accelerate or fade? Does job effectiveness increase or decrease?

Feb. 92

- (h) First major report on long-term trainees combined with a short/long contrast.
- (i) There is now enough information to begin to address Question 9, regarding characteristics of trainees and settings associated with particularly good outcomes (to R + 9). The question requires subdividing returnees into comparatively homogeneous groups, and these would be too small to take seriously at earlier dates.

There is no need to trace the remaining variations in detail. The reader can see, for example, that the information on long-term trainees doubles in volume between August 1991 and August 1992. The implications for the comparative solidity of the reports are clear.

Note that not before August 1992 are numbers sufficient for a tentative comparison of private-sector short-term and long-term returnees.

ANNEX D. TASKS OF THE EVALUATOR AS RELATED TO QUESTIONS OF THE STUDY

- 1. What are the characteristics of trainees selected to date (including their training goals and plans)? How does this differ with respect to public vs. private, men vs. women, short vs. long?**

This is not an "impact" question; but it has potential value as feedback to the recruitment and selection processes. It seems likely that report users will see some categories as under- or over-represented.

DATA SOURCE

A first task for the evaluator is to assemble the file of relevant materials on past and present trainees that will provide the baseline for all studies. The materials now available at Pragma/N and Pragma/W are highly informative. They are unorganized, however, and have not been synthesized into a panoramic view of the persons served. The materials which are available, but need review, are discussed in Annex B.

The evaluator should code materials for the computer to the extent practicable. In addition to the obvious variables defined by questions on standard forms or the structure of the program (sex, age, short/long, etc.), he should develop codes that capture the "essence" of the person and the training.

Trainee characteristics. All the characterizations below apply to the person at the time of the selection interview. Some may also be usefully applied to the person's status a year or more after return. These examples are suggested by our limited information on the trainees as individuals. The rubrics should be modified and other variables added when the evaluator has had time to read through the files. The evaluator will need to specify the coding rules so that coding of borderline cases can be consistent throughout the years of the evaluation..

Position level within private sector: (1) Level 1 (2) Level 2 (3) Lower-level supervisor (4) Specialist (5) Other

"Level 1" is intended to serve the evaluator in place of the term "self-employed", which is too narrow. Level 1 includes the managing head of a firm, or a partner. It is reasonable to look for changes in the firm's size and success just as with the sole proprietor. Level 2 refers to heads of divisions of a firm: e.g., marketing, training, production. Specialists are persons whose work assignment is more one of using expertise than of directing a staff (a meteorologist or accountant, for example).

Position level within public sector: The same or similar categories can be applied to persons in parastatal firms and perhaps to other public-sector trainees. Perhaps policy-level positions should enter a category separate from administration.

In public sector, type of organization: (1) Administrative office, (2) Educational institution, (3) Parastatal firm, (4) Office delivering services, (5) Other

Persons in parastatal firms may be more like counterparts in the private sector than like persons in government offices. Delivery of services would include agricultural extension, road building, and other work close to the community. The number of trainees is too small for separate treatment of otherwise logical categories such as health services.

Education: (1) Less than A.B. or equivalent; (2) Advanced or specialized training, less than 2 years; (3) Advanced or specialized training, 2 years or more

This is probably more useful than classification by degrees, both because degrees as such may not control opportunity in Kenya and because much specialized training has not been degree-oriented.

Occupational category: (1) Physical ("hard" technology or related science), (2) Information processing (including computer systems, communication systems), (3)

Agriculture (or related biological science), (4) Health (or related biological science, etc.), (5) Administration (organization-centered, public or private; includes agribusiness, hospital management), (6) Economics (including agricultural economics), (7) Finance (including banking, insurance), (8) Marketing (includes sales, advertising), (9) Human services (education, clinical services, social welfare), (10) Other (journalism, arts, . . .)

This scheme is designed to facilitate summary over persons receiving rather similar training whether in public or private sector. The categories would be refined after study of the files shows which clusters are sufficiently numerous. Boundaries need further consideration -- e.g., where to place accounting/human resource development?

The number of rubrics should not be more than 12, and groups should not be smaller than six cases at the end of the project. The category system should be established early, even though the final size of groups can only be estimated.

Variables for describing trainees and their work situations might well include previous out-of-country experience, size of firm, location of position (Nairobi-and-environs/other), and many others.

Aspects of training. Training plans can be coded with respect to duration (subdividing the group now called "long-term"), and primary character: (1) Academic setting, (2) Visits to business workplaces, (3) Visits to government agencies, (4) Other.

Another code describes the level of TFD activities: (1) Vocational, lower level (2) Vocational, specialized or advanced training (3) Professional training above master's level.

The emphasis is on the instructional experience, not on the duration of training or whether it leads to a degree. A short program of visits to research labs, for example,

should almost certainly be coded (3). (1) includes trades, basic computer skills, other programs corresponding to community-college level.

(2) includes upper-division and master's level work, e.g. civil engineering, computer systems, accounting.

It is desirable to code whether the training originally desired was easy or difficult to arrange, and to code the reason for difficulty. This can often be inferred from the file, particularly from the final report of Pragma/W on the returnee; it would be desirable to have the coding reviewed and augmented by Pragma/W. (Note, among other reasons for difficulty, the problem of securing admission to a preferred training site.)

Not directly related to evaluation question #1, but also a part of file preparation, is the coding of information from the post-program debriefing form. Some of the free-response questions are worthy of coding and crosstabulation. Thus the trainee is asked "Do you anticipate any challenges in using [what] you have learned ... when you return?" Perhaps five or six categories will capture the responses that have been made with appreciable frequency.

A file should be prepared on persons selected who withdrew. Some of these cases reflect difficulty in arranging the desired training. (Follow-up interviews on these persons are not proposed.)

A desirable supplement would come from a coding of basic facts about trainees not selected but this has low priority.

SAMPLE AND TIMING OF DATA COLLECTION

Files and codes are to be prepared for all trainees prior to departure. As new variables become relevant or interesting, additional coding of trainees, and entry into database, will occur.

DATA REDUCTION AND ANALYSIS/REPORTS

To develop a picture of the groups served, the coded variables are to be crosstabulated against the four categories of

selectee. Using them in this early report (available perhaps six months after the evaluator starts work) will permit the report audience to suggest alterations in the category system. It will become a basis for crosstabulation for impact questions also.

The report on this evaluation question should be updated after the last selection period. The file will of course be continually updated. Although interim reports could be produced, they seem likely not to show sufficient change to be worthwhile.

2. Do returnees judge their training to have been appropriate? In what respects was it less than satisfactory?

This question restates the concern expressed under EOPS Outputs 1: "Effective training program", subheads b and c. We have modified subhead d on "linkage" to ask whether the linkage makes a difference.

DATA SOURCE

The Pragma debriefing questionnaire obtains ratings of training and related comments. These should be tabulated and summarized.

The results will indicate a high level of satisfaction according to our spot checks. There have also been a number of difficulties; Pragma quarterly reports have drawn attention to many of these. The evaluator should look particularly for difficulties mentioned with some frequency, and use the coded data (see remarks under Question #1 above) to determine whether any recurrent difficulty is a problem for particular types of trainees.

Information from subsequent post-return questionnaires and interviews will amplify and qualify the initial ratings of satisfaction. Much information pertinent to Question 7 (Work effectiveness) also reflects on the adequacy of training. Some trainees, we anticipate, will find themselves unable to apply in their jobs particular kinds of knowledge they acquired. Also, some will indicate that they now believe that somewhat different training objectives would have been a better match to their current needs.

SAMPLE AND TIMING OF DATA COLLECTION

All returnees will be given the debriefing questionnaire at time of departure from the U.S.

DATA REDUCTION AND ANALYSIS/REPORTS

This information appears likely to be most valuable if examined qualitatively, not collected by a numerical rating as at debriefing. The evaluator's summary would emphasize - in addition to a review of positive statements - a characterization of training plans about which returnees have second thoughts a year or so after return.

Very likely, some kinds of skills are readily applied by returnees and others are put to use only in part or after much delay. The evaluator should try to characterize the differences associated with nonuse and delay. The evaluator should note particularly whether use of skills was facilitated by continued contacts with U.S. sources or by TFD follow-on activities.

3. What are the usual courses of career development of trainees following their return?

DATA SOURCE

The trainee post-return "Interview Agenda" will be used to record data bearing on this question.

SAMPLE AND TIMING OF DATA COLLECTION

The TFD post-return "Interview Agenda" will be administered to all trainees at a minimum of two different points in time: R + 6, and R + 18. R + 30 is also probable, but still somewhat tentative at this point, and depends both upon trainee responsivity to earlier questionnaires and evaluation user interest.

DATA REDUCTION AND ANALYSIS/REPORTS

A report on this question will provide a quantitative summary of the frequency of change of career direction, shift

from technical specialty to management, or shift into entrepreneurship. Qualitative descriptions of the career shifts will also be part of the data reduction. The analyses will say something about impact, insofar as the nature of the change and the reason for it may have a manifest relation to the training. But the question is important in its own right as a description of the returnees' lives.

It may be possible to answer important subordinate questions: How early do significant impacts appear? What is the trajectory over time? We anticipate that some types of training, although successfully delivered, will show an impact in the workplace only after a lag of one or two years. Such a finding would be an important warning against trying to evaluate this type of program on the basis of short-term impact.

4. Does the returnee report increased confidence in his/her abilities . . .
 - (a) to perform more effectively on the job?

DATA SOURCE

The evaluator will use Questions #7, #8, and #9 from the "Interview Agenda" to address this concern. In Question #7 the intention is to elicit from trainees their own examples of being effective in their particular worksite. Since "effectiveness" is necessarily a multi-dimensional construct, and quite context specific, we feel that it is critical to allow the trainee, through example, to offer their own definitions of what it means to them to be effective. Using this example, the interviewer is then to probe further with the trainee the underlying qualities by which the latter defines "effectiveness."

In Question #8 we then impose our own pre-established set of qualities of effectiveness, though we ask the trainee to supply "Other" qualities as well. If the trainee has provided a list of qualities distinct from those itemized in Question #8, the evaluator may wish to add these to the list. The evaluator then asks the trainees to check the qualities that are important to them in their jobs in Kenya. Trainees are asked to rate themselves on the qualities they have selected. They do this rating twice, once as an assessment of their current status and

again, retrospectively, of the time immediately before leaving for the United States. Examples of each are then requested.

As an effort to probe further into the cultural conditions affecting effectiveness and change, we also ask trainees to identify any serious obstacles to their continuing effectiveness. The goal is to ascertain whether any lack of perceived effectiveness is more likely to be a function of individual factors (e.g., lack of desire, inadequate skills) or environmental constraints (e.g., lack of acceptance, bureaucratic red-tape). Question #9 of the "Interview Agenda" allows returnees to identify, and expand upon, obstacles which they have faced in implementing job-related changes.

SAMPLE AND TIMING OF DATA COLLECTION

These questions are to be given to all returnees, except those who fall outside the time window for data collection (see below).

The assumption made here is that recent returnees will be unable to make a determination either of their level of effectiveness upon return to Kenya (and, therefore, of any changes from their pre-departure level) or of salient obstacles to their increased effectiveness. We suggest that the first target date for a more realistic determination is R + 6/9. The evaluator will want to add an additional data collection point at R + 18/21 (and possibly, at R + 30/33) for those on whom data can be collected before late 1993. The reason for this is that enhanced job effectiveness may not be possible, or noticeable, to some trainees for a longer period of time. Additionally, the greater time depth of an R + 18/21 comparison will give the evaluator an opportunity to study, as a separate but important issue, the temporal stability of job effectiveness.

As a further guideline, the evaluator will also collect data from returnees who, beginning in July, 1990, reach the R + 6/9 mark.

Analysis of interview Questions #7 - #9 does not depend upon comparison with a pre-departure baseline.

DATA REDUCTION AND ANALYSIS

The data from these questions of the Interview may be analyzed in several ways. Examples of job effectiveness can be presented. Content analysis can be applied to the examples given to uncover underlying qualities of effectiveness. How is it, in other words, that the trainees themselves see their opportunities to impact their organizations? Such qualities, when organized by trainee characteristics (e.g., short-term vs. long-term, position level within public or private sector), may serve as input to program implementation personnel for maximizing the potential effects of trainee selection.

The self-ratings data from Question #8 can also be used to compare "before" and "after" perceptions of effectiveness. Simple tallies and percentages of gain (or loss) for each rated item are appropriate and sufficient for this analysis. Care must be taken that any observed changes not be attributed directly to the training program in the U.S.

The data from Question #9 on obstacles to implementation effectiveness will be analyzed to provide lists of examples and frequency counts of the most common types that affect TFD trainees. Types will also be associated with trainee characteristics to determine whether certain obstacles are sector specific. The specific question motivating this data analysis is whether individuals see their efforts at change stymied by forces outside their control. The answer to this question may have a direct bearing on the kinds of follow-on training and support provided by A.I.D. and the Government of Kenya for the TFD trainees.

REPORTS

Reports on this question can be generated on an "as needed" basis. That is, as data on groups of interest become available, reports can be prepared for given evaluation users. However, for planning purposes here, we have keyed the production of reports to a semiannual A.I.D. reporting cycle (March and September). Based upon the known return dates of groups of trainees, and our projections over the next three years, we anticipate a schedule of the following set of reports:

**PROBABLE SEMIANNUAL REPORT CYCLE FOR R + 6/9 TFD RETURNEES
FOR QUESTION 4a**

	FEB. 91	AUG. 91	FEB. 92	AUG. 92	FEB. 93
PUB. S.-T.	5	5	8	8	8
PRUT. S.- T.	8	12	14	14	14
PUB. L.-T.		6	24	25	29
PRUT. L.- T.		4	5	8	9

(b) to be an effective agent of change?

DATA SOURCE

One operating assumption for the TFD evaluation is that returning trainees are potential agents of change in their jobs, professions, and communities. Although we probe their self-assessments concerning the areas in which they have been effective (see above under 4a - T. confidence: work), we argue that a further important dimension is how thoughtful, and planful, individuals are with regard to implementing change. One trainee with whom we spoke in Nairobi, for example, commented that he knew he had first to "sell himself" to his superiors before he would try to champion any of his new ideas.

In Question #11 of the Trainee "Interview Agenda" we ask returnees whether they have had any experiences, either during their formal training or through outside exposure, that helped them think strategically about making changes upon return. In Question #12 we try, through indirect means, to see how reflective returning participants are about their roles as change agents. Thus, we ask them to comment on what they might have done differently since their return to Kenya or since the last time they were interviewed.

SAMPLE AND TIMING OF DATA COLLECTION

These questions are to be given to all returnees, except those who fall outside the time window for data collection (see below).

As with 4a (T. confidence: work), we assume that recent returnees will be unable to adequately reflect upon themselves as change agents during the first few months of their return to Kenya. We suggest that the first realistic target date for such a determination is R + 6/9. We do not believe that a further data collection beyond R + 6/9 is warranted. Individuals who have not reflected on the strategy of change by R + 6/9 are not likely to adopt this perspective later. We do recommend, however, that the evaluator collect data from returnees who, beginning in July, 1990, reach the R + 6/9 mark.

DATA REDUCTION AND ANALYSIS

Analysis of Questions # 11 and #12 will proceed as follows. Any evidence for formal or informal experiences related to strategizing change will be listed. These will be categorized by type of trainee to see whether, for example, short-term private trainees are more likely to receive, and use, strategic thinking in their jobs.

It will also be possible to use the results of Question #12 to rate participants in terms of their ability to reflect upon their role as change agents. Two independent raters will examine the answers to Question #12 and rate the trainee as "low," "medium," or "high" reflective. Disagreements will be resolved by discussion. The ratings will then be paired with the trainee's self-ratings of effectiveness from Question #8. In this way, it will be possible to make general conclusions about the relationship of strategizing to perceived job effectiveness. Although we do not claim that this is a causal connection (the directionality of the causal chain would be in doubt), it may offer some justification for selecting for training individuals who already score high in self-awareness.

REPORTS

We anticipate the same set of reports, and their timing, as indicated above under 4a (T. confidence: work).

5. [For returnees who are responsible for enterprises ("Level 1")] By what percentage has each of the following increased since date of return?

Number of employees in the firm
 Gross sales or intake of the enterprise
 Net book value of the firm
 Percentage of sales to the export market

This optional question is an adaptation of 5 in EOPS. It can be addressed inexpensively but it is potentially misleading.

A standardized question is applied to individuals who are not comparable. For example, the farm-equipment business is no doubt highly seasonal, and may be subject to marked year-to-year variability associated with the weather or with world markets. A firm may actually draw down its book value when investing in quality control, and will regain those costs only at that future time when customers recognize the added value. There is risk, then, that this attempt to get "hard" data will produce an incorrect impression of poor economic impact.

Further cautionary words are in order if the evaluator expects to use the economic data for comparative purposes with data collected at other times and in other ways for other USAID/K programs. This is because economic outcomes may depend on numerous factors outside the firm, as well as factors within the firm which the returnee does not control. In addition, we understand that AID ordinarily uses its reporting form on a one-time only basis to describe a group being served. We doubt that a two-time administration suitable for TFD would match the time interval AID has been using for pre-post comparisons in some programs. As a final caveat, some TFD returnees who are already beyond the R + 6/9 point would have to give retrospective data which are notoriously undependable.

We cannot recommend comparison with pre-departure information, as the interval between departure and return

differs radically between short- and long-term trainees. Also, many a small business would have been quiescent in the absence of the firm's head.

Evaluation question #5 cannot be a major element in the evaluation because it is relevant to only a select fraction of trainees. It is not appropriate to an employee below top management because such a person's influence on the firm's prosperity is limited. "Level 1" refers to the classification system mentioned under Question 1. We broaden the question stated in EOPS to cover enterprises such as that of a free-lance journalist, as well as "firms." Our estimate is that only about a third of the private sector trainees were at Level 1 when they entered training.

If this line of questioning is retained, it may be worthwhile to apply it to Level-2 private-sector returnees; but sophisticated interpretation will be needed. It is more appropriate to judge the head of a marketing division by increase in the firm's sales than to judge the head of training by an economic indicator.

Whether the question can be adapted meaningfully for high-level returnees in parastatal firms depends on how those firms keep accounts. The evaluator should obtain advice on this possibility.

Insofar as data aggregation and analysis is deemed feasible, quantitative measures of the economic data will be produced and compared over time.

6. [For returnees not classed as Level 1] Has the returnee received increased recognition and responsibility on the job? Is the returnee viewed by others as more effective professionally after having U. S. training?

DATA SOURCE

Job changes (e.g., promotions, demotions, salary increases, number of employees supervised) will be monitored over time (R + 3, R + 6, R + 18, and R + 30).

These "numerical" indicators will be used to augment data obtained from interviews. To this end, the "Interview for Returnees' Employer/Supervisor" will be used. Question #5 of the Interview will provide a cross-validation, from the employer/supervisor's point of view, of the trainee's changes in job status and responsibilities. Questions #3 and #4 of this interview protocol allow the employer/supervisor to offer examples of the trainee's effectiveness and to rate him or her in terms of specific qualities of effectiveness (paralleling the trainee's self-ratings on the same qualities). Both a pre-departure rating (done retrospectively) and a current rating are requested of the employer/supervisor.

SAMPLE AND TIMING OF DATA COLLECTION

Changes of status will be updated with all returnees at regular (yearly) intervals beginning at R + 6 (but including R + 3 as well). The long time depth is essential, we feel, for certain occupations (e.g., in Government work) where promotion and major career changes may be slow in developing.

The interviews with the trainee's supervisor or employer will be relatively costly and infeasible or inappropriate in certain circumstances (e.g., when a trainee has recently changed positions or when it is a family business headed by the trainee). We do not, therefore, recommend its use with all trainees. Although the evaluator may wish to conduct an informal "feasibility" study before administering the "Employer/Supervisor" Interview, our recommendation at this point is that selection criteria be established by the evaluator on the basis of assessed feasibility and evaluation user interest. Once this selection has occurred, the evaluator randomly selects one-half of the returnees from any given cell for employer/supervisor follow-up. These same trainees, and their employers/supervisors, would be followed for all post-return data collection points.

DATA REDUCTION AND ANALYSIS

Data analysis will take two primary forms. First, the evaluator will tally appropriate forms of increased recognition and responsibility for trainees in given sectors (e.g., public short-term, private long-term). These general indicators will be used to compare sector populations.

Secondly, accounts of trainees by employers/supervisors will be summarized. Employer/supervisor accounts will be paired with the trainees' own accounts of job effectiveness. Similarity of ratings and examples cited as evidence of job effectiveness may persuade the evaluator after the R + 9 data collection to forego further employer/supervisor interviews. However, differences in ratings may itself yield a research question worthy of follow-up. A major methodological issue for the evaluator may well be whose evidence counts most in determining levels of job effectiveness. The answer to this may prove a methodological benefit for other training programs with a similar evaluation dilemma.

An additional question of interest is whether those individuals who are seen as being effective are also those who are given salary raises, promotions, increased responsibilities, and the like. If this is true, the evaluator may decide to use the yearly trainee update on wage and responsibility factors as a substitute for further employer/supervisor interviewing.

REPORTS

Each semi-annual report prepared for USAID/K will have updated information on wage and responsibility factors for all trainees on whom data has been completed to date. With each succeeding report, changes in status for the cohort of trainees as a whole, and for individual sectors of the population of trainees, will also be summarized. A full report on employer/supervisor opinions of trainee effectiveness (i.e., of those selected to be followed) will be available after sufficient numbers of trainees pass the R + 6 milestone (and any succeeding milestones determined by the evaluator).

7. Has the returnee been making a substantial contribution in the workplace since return (or in the economy more

broadly)? To what extent does the returnee trace this contribution to elements in the U.S. training?

DATA SOURCE

Data to address this evaluation question come from two sources. Both are trainee self-reports. As part of their "Post-Program Evaluation," Pragma/W asks each trainee to comment, in writing, on whether the program, in their opinion, enabled them "to contribute to the development of Kenya." In two trainee files we were able to examine, the returnees were quite enthusiastic and positive that this training goal was reached. However, the answers themselves lacked detail (since they had not yet even returned to Kenya); and merely served as justifications for their belief in the wisdom of their being selected for the program. To provide meaningful data, this question must be asked during the annual trainee update interview. It should be noted that even this approach may be limited. Trainees may be unable to gauge the actual contribution of what they do (as opposed to being able to defend their logic about the importance of what they do), and the evaluator may have to discover other assessment techniques. These might include unobtrusive measures such as mention in newspapers, professional newsletters, larger stacks of mail, and the like. It may require interviews with others in the same field or profession.

The second data source currently available comes from the returnee "Interview Agenda." Questions #2 and #3 of the Interview ask the trainee to give a brief job history. Other questions (#7 and #8) ask the trainee to give examples of ways they have been effective on the job. Together, they provide a picture of the kinds of contributions the trainee has made on the job. Question #5, on the other hand, specifically asks about elements of training in the U.S. and their usefulness on the job. The trainee is asked to discuss specific elements of training (not merely "training" in general) and to comment regarding any changes in usefulness over time. Additionally, the trainee is asked to comment upon elements that, in retrospect, were not used; and, as well, any that were missing from the training that now seem important.

SAMPLE AND TIMING OF DATA COLLECTION

Primary goals of TFD are that trainees make both a substantial impact in their places of work and, as well, a broader contribution to Kenyan society. Given the importance of these goals, and the relative difficulty of documenting them, the evaluator must sample from the group of returnees as widely as possible. Moreover, since impacts of these sorts are likely to be possible only in the long-term, data collection must be extended over as deep a time frame as possible. We recommend that all trainees be interviewed at $R + 6/9$ and again at yearly intervals: $R + 18/21$, $R + 30/33$.

DATA REDUCTION AND ANALYSIS

Evaluation question #7 has two analytic goals: (1) the documentation of trainee contributions at the workplace and, more generally, to Kenyan society; and (2) the trainees' beliefs that their contributions are at least partially attributable to elements of their U.S. training. An ancillary question to (1) is what time depth is necessary within the Kenyan context to reliably demonstrate that significant impacts have occurred?

The answer to the first question involves summaries of individuals' responses to interview questions. These may be further aggregated by sector (e.g., public long-term, public short-term) to determine (at least, at a very general level) whether certain sectors are more likely than others to make large-scale contributions. However, this may be more a measure of opportunity than trainee skills or a training effect. To answer the question regarding the time depth necessary for changes, the evaluator must also summarize the opportunities and contributions individuals have made over the 33-month period of data collection. A key, and answerable, question is whether trainees make their contributions early or late and whether there is any predictable relationship between the two (e.g., do those who contribute early "burn out," or are they the ones who continue to make ever wider contributions?). Documentation and summaries of qualitative interview responses is the analytic method of choice to answer such questions.

Question (2), above, again involves the summary of informant interview responses. The evaluator must be clear, however, to disavow any causal link between training and impact. The evaluator will be able to address only the related issues of how many trainees acknowledge a connection between elements of their training and their subsequent contributions, and what specific elements of training seem to be most generally applicable. Sector distinctions may also be desirable.

REPORTS

Separate public and private sector reports should be prepared, with a summary report for all interested evaluation user groups. These reports, written with numerous examples and "stories" of individual achievements, will be prepared when a "sufficient" number of returning participants accrue time at their jobs.

8. Has the returnee contributed as a leader in the community outside the workplace since return? To what extent does the returnee attribute this contribution to elements in the U. S. training?

DATA SOURCE

This question parallels evaluation question #7 (Work effectiveness), but focuses specifically on activities outside the work environment. In Question #6 of the returnee "Interview Agenda," the evaluator will ask for specific examples of changes in the trainee's personal life since returning to Kenya and for contributions they may have made outside the workplace. A follow-up question asks them to consider whether any of these changes or contributions could be linked either to formal or informal learning while in the U.S.

SAMPLE AND TIMING OF DATA COLLECTION

We believe that any changes or contributions made by a trainee in his or her personal life or in the wider community are likely to be relatively slow in developing and stabilizing. Many projects may be started, but not carried further to completion. We argue that the first data collection on this question be targeted for R + 6/9, with yearly follow ups at R + 18/21 and R +

30/33. Given the importance of this overall question, and the relative difficulty of documenting personal change/societal contribution, the evaluator must sample from the group of returnees as widely as possible. Thus, data collection on evaluation question #8 parallels, in terms of sample and timing, that for evaluation question #7 (Work effectiveness).

DATA REDUCTION AND ANALYSIS

Analysis must first proceed by summarizing instances of personal change and community contributions. Those associated, by the trainee, with experiences in the U.S. (both formal and informal learning experiences) must also be highlighted. A further question which data analysis can seek to answer is whether individuals in certain sectors (e.g., public, private) are more likely than others to make these contributions.

REPORTS

Separate public and private sector reports should be prepared, with a summary report for all interested evaluation user groups. These reports, written with numerous examples and "stories" of individual achievements, will be prepared when a "sufficient" number of returning participants have reached temporal "milestones" such as R + 6, R + 18.

This report schedule matches that for Question #7 (Work effectiveness).

9. What variables are associated with greater or less contribution by returnees?

DATA SOURCE

Evaluation question #9 is in many ways the most significant question in the list, as it helps to explain impact and is ripe with suggestions for future policy. It could easily be expanded here by a list of a dozen or more aspects. That would be unprofitable. The particular framing of questions in this vein will depend on the way data accumulate and the specific interests that surface during the evaluation.

"Variables" is a general term that covers, first of all, the obvious categories such as short vs. long. But many other categorizations of returnees such as were listed under evaluation question #1 (T. characteristics) can divide the information "in equally salient ways.

The second aspect of "variables" is the conditions in which the returnee finds him/herself. There will be many questions in the interview about difficulties trainees have faced in making use of their skills, and about facilitating conditions. Moreover, the evaluator will perceive further variables that cannot all be anticipated (e.g., persons who changed jobs vs. those who did not).

SAMPLE AND TIMING OF DATA COLLECTION

All cases are potentially useful in this broader-based impact analysis; and data collection is, of course, on-going.

DATA REDUCTION AND ANALYSIS/REPORTS

Whereas crosstabulation of prespecified categories with outcome are one way to approach the analysis, a further strategy is suggested for a late stage in the evaluation when many persons have been interviewed (at R+18 or later). The evaluator would prepare a one-sheet account of the person's impact and have three informed persons (similar to those on the selection committee) place them in 3 - 5 piles. The piles should be "forced" toward specific sizes. If, for example, 80 cases are to be sorted into four piles, a good strategy is to ask the judge to pick out the most satisfactory half of the cases. Then, within the top 40, he would pick the 12-14 most excellent; and in the bottom 40, the 12-14 with the least satisfactory outcomes. The implied 1-to-4 ratings given by the individual reviewers would be averaged. The evaluator should check how these end-ratings are distributed within the various categories of persons and types of training. He should also read the high-rated files to look for hints about frequent origins of such excellence. Lower priority would go to a similar reading of the low-rated files.

Here is a concrete example of the kind of summary the evaluator would prepare for the eyes of the judging group only. No attempt is made to strip out identification or particulars such

as sex. An attempt is made to present facts nonjudgmentally. The case is written to demonstrate some of the main understandings underlying the evaluation plan, particularly the following:

1. Impact is a process extended in time; a weak early result may not tell the significant story.
2. Economic indicators at one time point cannot be taken at face value.
3. Disguising cases in open reports will be difficult if not impossible. Moreover, business secrets may be exposed.

Example. Obadiah Kabuki went in 1990 to study marketing short-term. He manages a bubble-gum firm and had good reports at the time of selection. On return he was enthusiastic about ideas acquired during visits to U. S. firms.

At R + 8 the facts about his firm showed no "impact." An upward trend in sales and a slight upward trend in number of employees after his return was simply a continuation of what was occurring during his absence.

Mr. Kabuki had thought much about the American ideas of market segmentation and "selling the sizzle instead of the steak", and after he had been back some months he came up with a value-added bubble gum. The product would require a source of the added ingredient; lack of a good source delayed product introduction and held down supply.

The new Feelgood Bubble Gum found a ready market and OK hired his wife part time as route salesperson dealing with stores that serve well-to-do Kenyans. Net worth went down somewhat, because of costs associated with permission to import supplies.

As of Dec. 1992, aware that this difficulty will continue, OK has begun systematic trial of several varieties of Plant X on a tract near Lake Victoria. (This employs about 20 persons.) He hopes that some variety will yield Plant X extract at a good rate.

Then he can expand production and anticipates a sizable upscale market. Moreover, he entertains the thought of expanding the acreage and exporting Plant X extract.

These hopes may not be realized; but the Kabuki family, which is underwriting the experiment, regards Obadiah highly and is likely to give him steadily increasing responsibility in its other enterprises.

ANNEX E. FURTHER REMARKS ON REPORTS AND ILLUSTRATIVE EVALUATION REPORTS

The scope of work called for inclusion of an example of the kind of report the evaluator might submit. We have decided instead to offer two reports, capitalizing on the somewhat different contacts we had with trainees and with the files. Both styles of report may be used by the actual evaluation, and other styles will also fit other kinds of information.

Example 1. A thematic report

CAVEAT. Necessarily, this first specimen is based on imaginary data and may not correspond to facts about the returnees. It is influenced by stories we have been told by informants, but we have altered the stories so that they no longer describe actual case histories. All names are fictional. Because the content is not based on fresh data it will probably not come as "news"; this is intended as an illustration of a possible style. This illustration presents only an overview statement that could be distributed to all audiences, not the documentation. Any actual report would have a preamble or annex describing the number of trainees and sources of evidence on which the description is based, with emphasis on the length of time the informants have been back in Kenya.

**Conditions affecting utilization of high-level training
Report #17 from TFD evaluation, May 3, 1992. Prepared by O. P.**

This report examines the impact of "high-level training", by which we mean activity that in depth or specialization is above the level of master's degree courses. The training may be short or long, and need not be designed to lead to a degree. Examples of high-level trainees include University faculty seeking refresher courses or proposing to visit research laboratories, government engineers pursuing advanced specialized knowledge, and bankers desiring theoretical and practical understanding of world trade.

Almost all training programs at this level have been successfully delivered. (We note the important exception that two selectees with poor grade records were not accepted by

first-class American schools, and withdrew.) The trainees were well-prepared for the U. S. experience and have been welcomed by whatever U. S. counterparts they sought as advisers. U. S. academic institutions have often provided special attention - beyond their scheduled course offerings - for short-term trainees who want to learn much in a limited time.

Some trainees have been unable to get training at the desired level, however. A conspicuous example is Dr. B. Kiago, who wished to learn a specialized kind of surgery. He was accepted by a training hospital whose physicians explained the relevant procedures. However, as he lacked a license to practice medicine in the U. S., it was impossible for him to carry out any of the procedures under supervision and so to be truly trained. Despite this disappointment, Dr. Kiago speaks highly of the experience, saying this in part: "The surgeons were generous in sharing their experience with me. I have been able to modify some of my techniques successfully, but, more important, I now think differently about how the operations I perform are affected by other organ systems."

The broad question posed here is whether high-level programs of the typical "short term" duration provide adequate opportunity for practical experience. (The more verbal side of such instruction has generally been much easier to grasp in a few months.) Visiting a laboratory where drugs are tested on animals and talking through the experimental plan, for example, is a much more dilute experience than remaining on the scene so as to live through the collegial interactions that ensure data quality, appropriate analysis, and sorting out of alternative interpretations.

Returnees at this level vary widely in their success in putting their ideas and skills to use. If the returnee drops back into a "niche" that is institutionally eager to capitalize on the training, progress is typically prompt and gratifying. When a banker returns to his post and explains what he has learned about hedging in foreign currency, or a returned meteorologist proposes to improve long-term forecasts by means of a new computer model, they encounter no psychological or institutional impediments. Time may pass before a new plan is in effect, perhaps because equipment is not quickly available; but when the niche calls for specialized knowledge the fresh expertise is

well received. [The report might go on to a short version of the success story of Obadiah Kabuki, covered in Annex D.]

Where the high-level trainee returns with skills that do not fit naturally into the traditions of the organization, only a small fraction of the potential benefit from training is realized - at least during the 18-month period over which we have now followed six such cases. The returnee can employ new subskills in his/her personal work, and is usually encouraged in that. Where a change in the structure or usual practice of the organization is suggested, however, many questions beyond that of the returnee's expertise come into consideration.

Mr. J. Wakuya has advanced training regarding reforestation in dry areas. His agency has in the past called upon non-Kenyan consultants to design its reforestation projects. Mr. Wakuya's superior tells us that he considers it premature to allow Mr. Wakuya to take primary responsibility for such designs. "The success of these projects is too important for us to take risks, and my ministry wants the security of outside advice," he says. We shall arrange for Mr. Wakuya to work closely with our foreign consultants and in time we expect to give him more responsibility for design."

Dr. K. Mangoro, the physician in charge of student health in a university, provides a somewhat different example of the same problem. His position is not a traditional one in Kenyan universities. Few of the faculty and administration understand that student health services may properly range far beyond clinical services for students who are ill. Dr. Mangoro became acquainted with the full range of needed student health services, but is blocked in any attempt to develop a system of services that would go beyond his personal efforts. Not only is there no budget for staff apart from the clinical service but in the University there is no committee or other structure for reviewing priorities and getting development of the service under way. Dr. Mangoro makes opportunities to discuss the need for health services with a number of faculty members who are sympathetic, and in time some of them may be able to influence policy. Dr. Mangoro, not having faculty status, is essentially without influence.

The number of returnees at this level is too small to justify a firm statement, but limitations on the use of high-level training appear to be more common among those returning to complex organizations. This complexity is particularly often found in the public sector.

Selection committees may in the future wish to give special attention to the administrative context in which an applicant hopes to use the proposed training. The committee may consider it entirely appropriate to provide training for a person whose institutional setting makes full use of the training uncertain; but that choice should be a conscious one.

Comment: It is to be noted that this report is not limited to just one of the "key questions." Rather, it sheds light on Questions 2 (T. report on training), 7 (work effectiveness), and 9 (Correlates of effectiveness). We expect such multiple relevance in most reports, and our next example illustrates that point also.

Example 2. A case-oriented report

This sample report is based on three interviews with trainees in Kenya carried out by J. Akong'a, A. Fleuret, T. Muraya, R. Wanjau, and H. Levine. It is intended to be indicative of the kind of report an evaluator will make using qualitative interview data. This sample report addresses several evaluation questions (as noted below).

EXAMPLES OF JOB EFFECTIVENESS

This report is based upon discussions with three trainees interviewed at their places of employment in Nairobi in April, 1990. It addresses three evaluation questions (T. confidence: work; Work effectiveness; and Community effectiveness). All three are in relatively senior positions, one in a privately operated, large-scale agribusiness (Mr. "A") and the remaining two in parastatal organizations (banking - Mr. "B" - and publishing - Mr. "P"). All three were enthusiastic about the challenges and opportunities of their worklives, even though Mr. B noted that he cannot expect vertical mobility in his

organization because of his non-banking background. All three returnees expressed their belief that they were effective in their jobs, and they had no difficulty in citing examples of innovations or other forms of job-related effectiveness. Brief summaries of their workplace (and professional) contributions will be illustrative of the kinds of impacts that they have thus far felt they have had. In addition, the report will summarize the connections they make between job effectiveness and elements (formal and informal) of their U.S. training.

Mr. A - At the beginning of his interview, Mr. A noted that he felt that he had become "somewhat of a different person" as a result of his U.S. training. He mentioned that while he had always been "analytic and planful" in his approach to life, his U.S. experience made him even more "aggressive" in this regard, and he now also had a "broader perspective." He returned to the theme of his personal commitment to advanced planning several times during the course of the one and one-half hour interview.

When asked whether he thought he was being effective at work he responded by discussing three qualities of effectiveness: getting things done on time; being aware of, and following through on, goal setting; and advanced planning of what he needs to accomplish. As an example of the latter he pointed to his plan to recommend that his firm expand into a new export crop. He organized his research into the economic and legal aspects of the export of this crop, organized minutes of meetings held on the subject, and obtained the proper sign-offs on aspects of the plan. Clearly, this was a personal project which he was shepherding through the bureaucracy of his company.

Interestingly, Mr. A cited a similar example of planning from his own life. He directed his family to examine with him its future income and economic stability. Now 40 years-old, what did the family want to be doing by the time Mr. A was 50? They decided on a long-range, ten-year plan to augment their income with tea plantings. To that end, they now have almost one acre of their land planted in tea.

From the prepared list of the "Interview Agenda" the three most important areas of job effectiveness for Mr. A are

"productivity," "development or implementation of time/money saving strategies," and "bringing a new technology or organizational scheme." As to the first, he has pushed his firm to provide good field education/extension for farmers. Farmers, he argues, will then have more money and will be able to produce more. With more products to process, the factories in Kenya will create new jobs. This will be good for the Kenyan economy. As to the second, Mr. A talked about his company's use of feasibility studies before embarking on a project, but the results of which may be ignored since implementation is often a foregone conclusion. Under such circumstances, Mr. A argues that it is exceedingly important to contain costs, something which he continually works at achieving. Finally, Mr. A spoke about his efforts while in the U.S. to evaluate new technologies for freeze-drying foods. But he also gave a considered "balance sheet" of the advantages and disadvantages of such equipment purchases: which technologies could be used in Kenya? would the technology pay for itself in the long run? would it add a competitive advantage by allowing different forms of product packaging? would the new equipment be hard to service?

At the end of the interview, Mr. A returned to his theme of being a more analytic person, of someone who has learned "how to evaluate things." He runs his business life with a reflective, but also aggressive, confidence. His speech is filled with strategic thinking: "If we cannot get through this way, why not try another side?"; "Look at the problem as an opportunity"; "I try to look at opportunity first, before I give up on the problem"; "Sometimes I leave the problem for a day or week; often things change and answers present themselves."

Mr. B - Mr. B notes that, since his return to Kenya, his evaluations/ratings from his superiors have improved. When asked what evidence he can cite for increased job effectiveness, he notes that he has been better able to keep pace with his workload and that the quality of his work has improved, such as his reports and his ability to handle meetings and negotiations.

For every quality of job effectiveness important to Mr. B (10 out of the 14 possible in the self-ratings of Question #8 of the Trainee "Interview Agenda"), he was able to provide a specific example. Among the more visible efforts are his regular

meetings with his staff where he actively solicits ideas from them on improvements. He reports that they are more enthusiastic about this new procedure than he had anticipated. As a time/money saving strategy, he has suggested using a computer printout instead of a bound volume to circulate certain kinds of information, which has saved both time and money. In addition, he also was able to convince the finance department to consolidate their accounts on computer rather than manually, also a time-saving device. He helps others in his occupation by meeting with managers from 21 other banks. Those in the smaller institutions, he feels, rely on himself (and others) with greater experience. He also gives talks for organizations like the Federation of Kenya Employers once or twice a month and feels that the talks have had an impact.

Mr. B also discussed his plans for the future. He has suggested enrichment programs for junior staff, and hopes that this idea will be accepted during the next fiscal year. Like Mr. A, Mr. B has gotten quite planful and strategic when trying to implement organizational change. He knows that the banking industry is, by nature, conservative and cautious, and that senior staff see themselves as being at risk when change is proposed. In response to one of his proposals for change, he was told to go step by step, to slow down and move at the common pace. Mr. B feels he has learned not only to introduce new ideas slowly, but also to involve from the very beginning those who will experience the change. In group dynamics exercises as part of his U.S. program, he learned to let employees contribute to the development of new ideas, thereby encouraging their ownership of the idea and even their belief that it was their idea to begin with.

Mr. P - Mr. P reports that his job responsibilities have increased because of his own initiative. Upon his return to Kenya he prepared a report on his U.S. training and made recommendations to senior management about the computerization of their accounting department, warehousing, and financial management. The managing director was sufficiently impressed that he asked Mr. P to invite management for a demonstration of what the computer could do for the company. This was, apparently, so successful that Mr. P was asked to identify areas within the company where microcomputers would be useful. A proposal he prepared was

approved two months later, and computer purchases were made. He is now responsible for planning the training of staff in the targeted departments.

Mr. P also discussed other ways in which he feels he has been effective in his workplace. His firm, for example, used to operate on a one-year or, at the most, two-year plan. Since his return, Mr. P has introduced a five-year plan on which he is currently engaged. He learned in the U.S. that companies plan for the next ten years and then work backwards, a strategy he wants to implement in Kenya.

When discussing qualities of effectiveness, Mr. P noted a particular cost-saving measure that he was more willing to entertain after his U.S. experience. This was the idea of subcontracting certain manuscripts to other publishing firms in Nairobi, where the work can be done more inexpensively and quickly. His training in the U.S. taught him to understand and make use of local facilities as cost-effective measures.

Mr. P also cited his new knowledge about American costing procedures in the publishing business; and how, by contrast, Kenyan practices actually discourage writers. Mr. P hopes to alter this practice.

Mr. P mentioned other efforts he has made to impact his organization and cited these as evidence of being effective in his job. He has tried to introduce what he perceived to be the American style of informality in the workplace. He feels that, as a result, his supervisors and workers have become more honest and the relaxed atmosphere has allowed them to raise problems early allowing sufficient opportunity for advanced planning. He has also been able to assist others: he can spot computer-based errors in documents and has become a resource to others in the firm who seek him out for help.

Finally, Mr. P has branched out from his own work environment. He notes that several publishers have contacted him. He has used his knowledge about publishing delays to benefit one competitor.

Mr. P feels that, because he is a senior manager, he has been able to directly participate in policy formulation. However,

he has been given feedback that he is pushing too hard, and realizes that he must sometimes go slower. He has also advanced the cause of informality in his workplace, in part so that employees will be motivated to work harder and on weekends for the sake of the work, not merely the additional salary.

RELATION OF JOB EFFECTIVENESS TO U.S. TRAINING

All three trainees report specific connections between elements of their U.S. training and qualities of their job effectiveness in Kenya. Mr. A, for example, felt that his project management training taught him to involve employees and co-workers in the ownership of new ideas and projects and gave him specific strategies to bring this about. He also felt he learned how to be genuinely customer oriented, and is now much more likely to investigate a customer's problems than he might have in the past. At a U.S. farm, Mr. A also learned how important the relationship of boss and worker was to productivity. He felt this to be critical for the Kenyan private sector.

Mr. B cited his improvement in both oral and written communication skills as a function of his U.S. training. He felt that his negotiating skills were enhanced, that he learned how to do audits of the bank's training needs, and he learned how to prepare written job descriptions for employees which he now uses for senior level positions. Perhaps most important, he has learned that, for change to be effective, it must involve those at the level of the organization for whom it was designed.

Mr. P, as discussed earlier, learned a number of specific skills which he was able to translate to the Kenyan context: costing of books, use of local publishing firms to sub-contract work to, reduced formality at the worksite to enable early identification and solution of problems, and so forth. His U.S. experience from outside the professional arena also taught him, he says, that Americans are too fast, too committed to their work. His similar efforts at his place of work have met some resistance, and he has gotten feedback that he is pushing too hard.

CONCLUSIONS

The three trainees studied during the evaluation team's work in Nairobi are obviously highly self-directed and industrious individuals. All have been able to identify areas within their organizations where change was possible. All are able to give examples - often numerous examples - documenting these changes and their own effectiveness in bringing them about. Moreover, two of the three are making impacts outside of their particular workplaces. Mr. B makes presentations to others in his field and serves in a formal capacity to professional organizations. Mr. P has been asked by other publishing houses, including competitors, for his help, to which he has agreed.

All three are short-term trainees, though both private and public (parastatal) sector are included. Based on this very small sample, it is the public sector individuals who have been able, at this point in time, to make the greatest impacts beyond their own worksites. All three, however, have made almost immediate in-roads at their places of work and speak confidently of their effectiveness. All point to specific aspects of their U.S. training which they feel they have been able to implement in Kenya. They do point to limitations in their training, but their view of the training is overwhelmingly positive.

The future course of their careers, and those of other short-term trainees, will be interesting to follow and to compare with long-term trainees.

ANNEX F. RECOMMENDED GROUND RULES ON CONFIDENTIALITY

For reasons explained in the body of the report, we recommend these ground rules to maintain an ethical relationship and a shared understanding with trainees:

1. Notes on face-to-face and telephone interviews will be written by the evaluator and entered into the trainee's confidential dossier. This material will remain private to the evaluator and his or her staff.
2. To satisfy reporting requirements, the evaluator may need to write summaries of individual interviews and/or of facts about groups of trainees. These summaries, with names attached, will be available upon request to no more than two designated individuals from each of the four evaluation user groups (Pragma, Private Sector Steering Committee, Public Sector Steering Committee, USAID/K).
3. In reports or presentations for broader dissemination, descriptions of individual cases may be necessary. As examples, the evaluator may be asked to prepare a series of "success" stories, or of stories highlighting typical difficulties in implementing change. When possible, individual identities will be masked to protect confidentiality. However, individual circumstances of the case may be so unusual that sanitizing the interview data will be neither practical nor desirable. In any such case, the evaluator will send the account to the individual for his/her reaction. The summary will not be released unless, perhaps after a negotiated revision, the person described approves the release in writing.
4. During any interview, the evaluator will ask the trainee to "flag" comments that he/she feels might create difficulty or bad feelings if disclosed. If this material cannot be subsumed under a general conclusion revealing nothing about its origins, the evaluator will work with the trainee to find an acceptable way to present the material or will keep it private.

- 5. Individual financial data or proprietary business information supplied to the evaluator will be treated with strict confidentiality if the trainee so requests. Data on finances, number of employees, and the like will be communicated outside the evaluation staff only in statistical summaries for groups.**

ANNEX G. NOTES ON INTERVIEWS WITH POTENTIAL EVALUATORS

During our two-week session in Kenya, the evaluation planning team interviewed four Kenyan researchers who were regarded as potentially suitable for the evaluator position. In addition, we collected resumes or materials from seven other potential candidates and identified, by name, five other researchers.

Of the eleven individuals on whom we have background data, one is not Kenyan. Seven have had experience doing evaluations of educational and/or training programs (in Kenya, for the most part), some having worked for USAID. All hold doctorates in education-related fields or sociology, five from American universities and two from Kenyan universities. All currently work in Kenyan universities or research institutes. Three of the individuals are quite senior and are unlikely to be interested in, or available for, a permanent evaluator position (indeed, two expressed their lack of availability to the evaluation planning team, though one would like to have his private consulting firm under contract to perform the evaluation).

Of the four remaining potential candidates, all are relatively junior. Whether they would leave current employment for the evaluator's position is unknown at this point. More important, none are highly experienced in doing the qualitative, quasi-ethnographic data collection called for in the TFD evaluation design, though some have done interviewing and qualitative data analysis in previous projects. This is a weakness, in most cases, that will need to be overcome with additional training by an outside consultant.

Efforts are still being made in Nairobi to identify other candidates or to secure materials on names already on file. We believe that the competency for the evaluator position exists in Kenya, though we are concerned about availability of the best people.