

ABSTRACT

H. Evaluation Abstract (Do not exceed the space provided)

*LAC Regional ADC (MDC) Training Funds are being used by AID/Brazil to achieve its strategic objectives in the priority areas: AIDS Prevention, Narcotics Awareness, Global Climate Change, Economic Modernization and Democratic Initiatives.

The project objective is to train Brazilian professionals in the U.S., in-country and third-countries (short and long term), through participant training (tech or Acad.), seminars and workshop.

COSTS

I. Evaluation Costs

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
*Ethel Brooks	OIT	14	US\$4.000	OIT
John Jessup	LAC	4	US\$2.000	LAC
Cecelia Skott	SUNY	14	US\$3.000	PROJECT
David Fleisher	SUNY/BRAZIL	5	US\$1.000	PROJECT
Maria Gontijo	SUNY/BRAZIL	5	US\$1.000	PROJECT
Ricardo Falcão	AID/BRAZIL	10	US\$2.000	PROJECT

2. Mission/Office Professional Staff

Person-Days (Estimate) *10

3. Borrower/Grantee Professional

Staff Person-Days (Estimate) *38



A.I.D. EVALUATION SUMMARY - PART II

SUMMARY

J. Summary of Evaluation Findings - Conclusions and Recommendations (Try not to exceed the three (3) pages provided)

Address the following items:

- | | |
|--|--|
| <ul style="list-style-type: none"> • Purpose of evaluation and methodology used • Purpose of activity(ies) evaluated • Findings and conclusions (relate to questions) | <ul style="list-style-type: none"> • Principal recommendations • Lessons learned |
|--|--|

Mission or Office
•AID/BRAZIL

Date This Summary Prepared:
•JUNE 1994

Title And Date Of Full Evaluation Report:
•EVALUATION OF THE ADC TRAINIG
PROJECT APRIL 1994

*I - Overview / Summary

In 1991 USAID Brazil selected the State University of New York (SUNY) as its contractor to implement the newly designed ADC Training Project. This contractual arrangement covered the five-year period 1991 - 1995. Under the original design, long-term training leading to the masters degree or post-doctoral work was to be provided for 40 persons (411 person months) and short-term training was to be provided for 96 persons (240 person months), with an additional 32 slots for conferences and observational tours (16 person months). These programs were to be concentrated in five areas, namely: AIDS education, drugs awareness and prevention, global climate changes, democratic initiatives and family planning. Over the last 12 months training areas have been expanded to include another mission priority, i.e., economic modernization, while family planning as a training area has been de-emphasized. Further, a shift has been made away from long-term training. For these and other more procedural reasons, it was determined that an evaluation of the training project was timely.

The evaluation has three major objectives and several sub-objectives which are to determine:

- a) the relevance and quality appropriateness of training;
- b) how the training is being applied; and
- c) areas in which the project might be strengthened

In support of the three primary objectives listed above, the evaluation also examines procedural issues such as: selection of participants, predeparture and re-entry, participants' perceptions of the relevancy of the training that they received, post-training follow-on activities and contractor performance, including appropriateness of resource allocations between the contractor's offices in Brasilia and Albany.

A. Methodology

The evaluation report is based on subjective responses to questions and a review of relevant documents, including the ADC Project Paper, contractors quarterly and semi-annual reports, the Ambassador Memo, descriptions of training programs and participants biographical data.

Since the inception of the project in 1991, one hundred and seventy one (171) persons have participated in overseas training and one hundred twenty (120) have attended in-country programs. A sample of 36 participants and supervisors (representing slightly more than 12% of those trained) were selected for on-site personal interviews which were primarily conducted by the two-person team of Ethel Brooks, OIT and Ricardo Falcão, USAID. The sample group was jointly chosen by USAID and SUNY based mainly on: a) the nature of their training, (the intent was to get representation from each of the five areas of concentration) and b) the extent to which the (returned) participants could be contacted in a timely and cost effective manner. A 22-item questionnaire was used to guide interviews with participants and for supervisors a 13-item questionnaire was used (specimens attached in Appendix A). Interview sessions were held in Brasilia, São Paulo and Belém, three widely dispersed locations. With the exception of one person who was sponsored for a Masters degree program, those interviewed had attended short-term, technical, career development programs, conferences and observational tours, most of which were conducted in the United States. The sample group included a good balance of male and female participants and supervisors.

B. Summary of Findings

* ADC Project training is consistent with and supports the missions strategic objectives. Training can be related to the five priority areas of AIDs education, drugs awareness & prevention, environment / global climate changes, economic modernization and democratic initiatives.

SUMMARY (Continued)

- * Participants and supervisors were pleased with the quality and relevancy of the training and with few exceptions, they were generally pleased with the duration of programs.
- * Most of the participants interviewed are applying various aspects of the training in their work.
- * SUNY is demonstrating sound and responsible management.
- * Early involvement of participants in the design of their training program has led to a high level of satisfaction with program outcome.
- * Follow-on activities are sporadic and in some instances non existent. Although the selection procedures are designed to locate participants who can multiply training upon return (and supervisors willing to support such activities), there is no formal structure in place to assure that this vital element is in fact carried out on a consistent basis.
- * Predeparture orientation especially for individual and small groups of participants is not consistently provided. This is especially true of participants selected by NGOs and grantees. Understandably, it might not always be practical to assemble all the participants at the same location at the same time for orientation, however, further creative thought should be given to this program need.
- * English language training is not funded under the project. Therefore it only occurs on a case-by-case basis depending on the availability of counterpart funds or the participant's independent resources. Resultingly, interpreters are provided for short study tours where participants cannot speak English. Occasionally Portuguese and sometimes Spanish are the languages of instructions for many of the programs. Whereas participants can understand and follow 85 - 90 per cent of the discussion, they do not always have the ability to engage in in-depth dialogue with the trainers.
- * The work order system of operation somewhat limits the contractor's ability to initiate programmatic actions.

C. Recommendations

- * Strengthen efforts to provide predeparture orientation, including programmatic issues and a post-training action plan as a standard component of all training programs. Consider the use of video and taped materials for orientation when time and distance make it impractical to assemble all participants at a single location.
- * Implement follow-on program activities for all participants. To the extent feasible, include supervisors / employers as part of the follow-on partnership.
- * Review the existing arrangements for counterpart contributions to the project and monitor status on a quarterly basis.
- * Publish selection criteria and circulate copies to all project officers, grantees and other nominating organizations.

ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation summary: always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

- * Evaluation Report

COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

* Altogether the program is conscientiously and intelligently executed by staff of high professional quality and responsiveness. Overall costs incident to the SUNY contract compare favorably with other A.I.D. training contracts and in some categories SUNY costs are lower. The preceding tallies and comments are intended only to identify anomalies or trends that the project manager should watch in the final program year of the contract.

**USAID Brazil
Evaluation of the ADC Training Project**

I. Overview / Summary

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Since the inception of the project in 1991, one hundred and seventy one (171) persons have participated in overseas training and one hundred twenty (120) have attended in-country programs. A sample of 36 participants and supervisors (representing slightly more than 12 % of those trained) were selected for on-site personal interviews, which were primarily conducted by the two-person team of Ethel Brooks, OIT and Ricardo Falcao, USAID. The sample group was jointly chosen by USAID and SUNY based mainly on: a) the nature of their training, (the intent was to get representation from each of the five areas of concentration) and b) the extent to which the [returned] participants could be contacted in a timely and cost effective manner. A 22-item questionnaire was used to guide interviews with participants and for supervisors a 13-item questionnaire was used (specimens attached in Appendix A). Interview sessions were held in Brasilia, Sao Paulo and Belem, three widely dispersed locations. With the exception of one person who was sponsored for a Masters degree program, those interviewed had attended short-term, technical, career development programs, conferences and observational tours, most of which were conducted in the United States. The sample group included a good balance of male and female participants and supervisors.

B. Summary of Findings

- * ADC Project training is consistent with and supports the missions strategic objectives. Training can be related to the five priority areas of AIDs education, drugs awareness & prevention, environment / global climate changes, economic modernization and democratic initiatives.
- * Participants and supervisors were pleased with the quality and relevancy of the training and with few exceptions, they were generally pleased with the duration of programs.
- * Most of the participants interviewed are applying various aspects of the training in their work.
- * SUNY is demonstrating sound and responsible management.
- * Early involvement of participants in the design of their training program has led to a high level of satisfaction with program outcome.
- * Follow-on activities are sporadic and in some instances non-existent. Although the selection procedures are designed to locate participants who can multiply training upon return (and supervisors willing to support such activities), there is no formal structure in place to assure that this vital element is in fact carried out on a consistent basis.
- * Predeparture orientation especially for individual and small groups of participants is not consistently provided. This is especially true of participants selected by NGOs and grantees. Understandably, it might not always be practical to assemble all

participants at the same location at the same time for orientation, however, further creative thought should be given to this program need.

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* The work order system of operation somewhat limits the contractor's ability to initiate programmatic actions.

C. Recommendations

* Strengthen efforts to provide predeparture orientation, including programmatic issues and a post-training action plan as a standard component of all training programs. Consider the use of video and taped materials for orientation when time and distance make it impractical to assemble all participants at a single location.

* Implement follow-on program activities for all participants. To the extent feasible, include supervisors / employers as part of the follow-on partnership.

* Review the existing arrangements for counterpart contributions to the project and monitor status on a quarterly basis.

* Publish selection criteria and circulate copies to all project officers, grantees and other nominating organizations.

II. Training Statistics and Interview Results

A. Statistics

A total of 143* participants have been trained under the ADC project divided as follows:

	<u>U.S.</u>	<u>Third Country</u>	<u>In-Country</u>
ACADEMIC (masters degree)	3	1	--
LONG-TERM (1 year certificate)	2	--	
TECHNICAL	138	6	13
TOTAL	143	7	13

* Includes 9 participants who are currently in training; 2

completing masters degrees, 2 completing certificate programs and the others attending a short-term, customized program.

B. Interview Results (Participants)

The results are presented here in the order of the questions on the participants' and supervisors' questionnaires. Responses are given in absolute numbers, not percentages.

Question 1: Name Participants interviewed are listed in Appendix A.

Question 2: Type and place of training

	<u>U.S.</u>	<u>Third Country</u>
ACADEMIC	1	--
TECHNICAL	22	3

TOTAL INTERVIEWED: 26 participants, 9 supervisors, 1 co-worker

Question 3: Fields of training

All of the participants had studied in one of the following areas: AIDs awareness; drugs education and prevention; environmental law, remote sensing and other programs related to global climate changes; promotion of economic competitiveness and budget analysis, oversight & evaluation.

Question 4: How / why were you selected for training ?

ADC training is primarily intended to support USAID projects which are being implemented by a small number of PVOs. In the interest of greater impact, attempts are made to train a critical mass within a given institution. Within these broad parameters, participants were selected on the basis of their educational background, work experience and personal interests. Approximately one third of the participants were recommended by their supervisors because of their job tenure, job performance and leadership ability. For another one third of the group, self-initiated actions led to their being considered for training. These individuals were already in pursuit of advanced degrees, primarily PhD programs and were seeking financial support to further their objectives. The others were pre-selected directly by the grantees or were recommended to USAID through one of several channels including government entities. Final selections were made by a committee of USAID, Embassy and S.U.N.Y. staff. Unlike many other more conventional approaches to participant selection, there

is no indication that multiple candidates were considered for each training slot before final selections were made.

Question 5: What did you expect from the training? Were your expectations met?

Responses to this questions were divided. Nine of the 26 participants (34 percent) cited specific skills that they wanted to acquire as results of the training. These included: The remaining 17 answered in general terms of updating knowledge, broadening their horizons, finding out what is being done [in their respective fields of work] in the U.S. that can be adapted within the context of Brazilian reality, sharpening skills to be more effective in their jobs and making valuable professional contacts for future information exchange. Three participants also expected to establish contacts that would facilitate their future pursuit of PhD programs in the U.S.

Two participants whose training was in environmental law had expected the program to provide a more in-depth, theoretical treatment of the subject rather than the general overview that was given. All other reported that training met or exceeded their expectations.

Question 6: What were the expectations of your supervisor?

Supervisors' expectations more or less paralleled the generalized expectations of participants...that they would be better equipped to perform their jobs. Three reported that supervisors expected training that would enable them to further the objectives of their institutions and to fill expanded roles anticipated as a result of new project activity.

Question 7: Which of the following activities are you capable of doing as a result of the training?

Direct a project	14
Assist with the management of a project	26
Develop policies, guidelines or operational procedures	13
Train other persons	21
Develop new techniques to solve problems	19

Fifteen participants have either conducted or assisted with formal seminars and workshops based on information and skills acquired during training. Four persons are engaged in research or work during which they informally train others. Two participants whose training was in AIDS prevention have developed an information kit for nationwide distribution which won the 1992 marketing strategy prize.

Question 8: Which of the following best describes your employment as a result of your training?

Have changed office, job/place of employment 2

Have remained with the same employer/institution but have been promoted to a higher position	3
Have remained in the same position (no promotion) but have been given more responsibility	16
Have remained in the same job with the same level of responsibility	5

Most of the participants are located in the same office and retain the same job title in which they worked prior to training. This job stability is predictable given the fact that they were selected for training to support projects being implemented by respective PVOs and grantees. Another contributing factor is that almost forty percent of the group interviewed completed their training during the past three months. Although in the same jobs, most participants stated that they are assuming greater responsibilities and are unofficially recognized as "leaders" in the office.

Question 9: How many promotions have you received ?

Four persons responded that they have received a post-training job promotion; one of which was recently employed by USAID. None have received multiple job promotions since completing training. It was observed that most of the persons interviewed are employed by small organizations with minimal opportunities for actual promotions to other positions. Although not formally promoted, most of the participants have received recognition by their supervisors and colleagues and they are accorded special status as a result of their training.

Question 10: Did you experience difficulty in adapting to your job after training ? If yes, please explain.

Yes	2
No	24

Most participants responded emphatically that they did not experience any problems in adapting to their jobs. Two persons responded that after the training they felt somewhat frustrated within their work place due to a lack of the kinds of equipment to which they have been introduced during their training. While they did not consider these to be overpowering adaptation problems, they did regard them as hampering job performance. One person who is employed at IBAMA stated that "she is occasionally the verge of frustration because everything in her office remains the same while she wants to initiate change but since she knows what to expect, she finds it easier to adapt."

Question 11: Does your present work correspond to your training ?

All respondents indicated that their present work corresponds with the training received. Some described the two as "a perfect fit" and "directly matching each other."

Question 12: How, in your opinion, has your training contributed

to:

A. Your personal and professional development?

Four persons have increased their earnings through job promotions. Two others have been notified that they will move into higher paying positions in December 1993 and January 1994. Three have acceptances for PhD programs at U.S. universities and one from a university in the UK. One person is co-authoring a book with a U.S. contact; another has published at least two articles. One received a major grant (\$100,000) from the U.S. Forestry Department for a project that she developed. One person was promoted to the Board of Directors of the Institute for Amazon & Environmental Studies, an NGO with which he has worked for the past few years. Four are engaged in serious research. Twelve responded that they had established important contacts with specialists in their field; broadened their horizons; gained understanding of "how to make things work"; improved management acumen; "opened their minds for now and for the future"; and "can delegate with greater ease because they now have better understanding and more confidence about how to evaluate results and correct mistakes." Most of the responders indicated that they are more highly respected and are accorded more prestige and status by supervisors and colleagues.

Four persons who completed training within the last six weeks did not cite specifics but definitely felt that they had grown professionally as a result of exposure to new experiences during their training.

B. The development of your institution ?

Two persons responded that their institutions had benefitted from new policies and procedures that they jointly developed following training in the area of AIDs prevention. Three participants are adapting materials that they received during training and disseminating it within their institutions. Others responded that their institutions are gaining wider recognition as a result of research that they are doing.

A group of participants were instrumental in developing legal strategy that counteracted efforts by developers that would have destroyed an indigenous community. Participants from The Secretariat have begun office wide in-service training for staff including application of a new computerized system. More than half of those interviewed responded that their institutions would, in some manner, share the benefits of contacts that they made during training. One participant from the Secretariat of Science, Technology and Environment, who is also a supervisor of other participants responded that " in Brazil, anytime one returns from training it injects new vigor within the organization." This seemed to summarize the consensus of the most of those interviewed.

Question 13: How have others benefitted from your training ?

[Others have]

Received training from formal seminars	13
Gained new information informally	20
Colleagues have been motivated to seek overseas training or other professional development opportunities	7

Although there was considerable variation in responses to this question, almost all of the participants described activities that they, personally initiated or contributed to which have directly or indirectly had a positive affect on others. One of the more far reaching impacts was described by a participant who, along with two other persons, attended environmental law training in the U.S. Afterwards, the group drew upon recently formed contacts and applied their new skills and confidence in a class action suit against developers to stop illegal cutting of mahogany from indigenous lands in the Amazon region. Through their direct actions, three lawsuits were won, resulting in a new found sense of empowerment and "a strategy that they feel morally obligated to share with other lawyers so it can be replicated in similar cases".

Other responses, although less dramatic, have also had substantial impact within the development community. For example, two persons who participated in an AIDs awareness training program were subsequently invited by the Ministry of Health to develop anti-discriminatory policies which will have nationwide implications. Also, in their work with bankers, industry and other groups within the private sector, they were asked to develop a "training for trainers" project that could be used for sensitizing management to "AIDs within the work place" issues. The concept was endorsed by union leaders and used in their negotiations, thereby directly benefitting hundreds of people within the banking industry.

Another participant whose training was in the area of drugs awareness / education responded that she has been able to interest her colleagues in setting goals and evaluating results in their work with drugs prevention in schools.

Several participants described how, as a result of their training, they are working with / teaching unschooled farmers how to calculate the value of lumber and land. They have developed an easy to use, self instructional manual, copies of which are being distributed to hundreds of farmers, thereby enabling them to negotiate reasonable prices with developers during sale transactions.

Other participants described how, after completing U.S. training, they are able to develop and apply a systematic / scientific approach to work within their respective offices and how this increases efficiency and stimulates their colleagues to try and do likewise.

Question 14: Is your work environment open to new ideas ? Please

explain.

Unqualified Yes	21
Somewhat	2
No	3

Most participants were pleased with the openness of their work environment. Those persons (3) who answered no, attributed the lack of openness to politics and party allegiances that override objectivity and consideration of new ideas.

Question 15: Are you in a position to make complete use of all the knowledge and skills you acquired in your training? If no, please indicate the obstacles.

Yes	13
Most, but not all	6
No	7

Two persons responded that they are hampered by a lack of equipment and two cited their offices' unwillingness to change. The remaining responses generally attributed inability to make full use of all acquired knowledge and skills to the fact that they do not have a PhD, which is required for certain levels of work, especially research.

Question 16: Please cite at least three specific examples of success or change that you were able to bring to your job that you can attribute to your training.

(Combined with responses to question 12 above).

Question 17: Do you have contacts with other persons who trained with you? If yes, please explain.

Yes	18
No	8

Persons who participated in a drugs prevention training program formed a networking group for mutual support and to share experiences, develop projects, etc upon their return to Brazil. This group (Paulisto), which now has twelve members, attend monthly meetings and engage in both professional and social activities. They have had five proposals funded during the two years since completing training. Four other participants responded that they are currently working with persons with whom they attended training.

Question 18: Since your return to Brazil, have you had any contact with instructors at the training institution or any other persons that you met during your training?

Yes	8
No	18

Almost a third of the responders indicated some level of networking with persons they met during training. Several participants who attended programs in remote sensing maintain frequent contact with the training providers. One of these participants reported that an instructor from his U.S. training institution, while on a business trip to Brazil, had agreed to assist with an in-country seminar. Three participants are receiving newsletters from their U.S. training institutions; two others have received letters and technical information from an instructor, while another has received potentially useful information relevant to funding for future academic training in the U.S.

Question 19: What are your future needs in the area of training ?

PhD program	8
In-depth study of environmental law	6
"How to" training for treating drugs abusers	2
On the job training in the development of systems for fraud detection	2
Practical training/collaborative work with other NGOs	2
More training in remote sensing	2
Recently returned from training, could not determine	4

Question 20: What suggestions can you make to improve USAID training programs ?

Generally, participants suggested a need for more in-country workshops to exchange information and keep current on what others are doing in their respective fields. Many were unaware that USAID encourages follow-on activities and responds to proposals for assistance with seminars and other in-country initiatives. A few other specific suggestions were made, they include:

- a) Add more in-depth, scientific or technical know-how in training programs;
- b) Provide predeparture orientation, including more background information about the program, as a part of the training.
- c) Include fewer meetings or extend the number of days for short observational programs. Three persons commented on the problem of "cramming" too much information and too many meetings in short observational tours. As a result they, reportedly, did not have enough time to reflect on and digest the information. Those who attended the program on budget, control and audit especially wanted to spend more time with the Government Accounting Office (GAO).
- d) Luis Carlos Ros Filho, technical staff with the Institute for Amazon & Environmental Studies, who was sponsored for academic studies suggested that AID's policy on spouse/dependents travel with participants be changed.

Question 21: On a scale of 1 (lowest) to 5 (highest), please rate your satisfaction with the following:

Content of your training program - Sixty-one per cent of the participants (16) gave this the highest rating of 5, twenty-three per cent (6) gave a rating of 4 and the remainder (4) rated it as 3.

Appropriateness of your training; effectiveness of your instructor (s) - Eight of the 26 participants (30.7%) rated this as 5, fifteen (58%) gave a rating of 4 and three (11%) gave a rating of 3.

Administrative support services provided by S.U.N.Y. - Seventy-three per cent (19) gave this a rating of 5, three (11%) rated it 4; one (3.8%) gave a rating of 3 and three (11%), for unexplained reasons, did not rate this item.

Appropriateness and adequacy of follow up activities that have been provided since you returned from training - Only twelve participants (46%) rated this item. The low response was attributed to the fact that follow-on activities have not been uniformly provided for all participants; in fact, almost half of them were not familiar with the concept. Of the those (12) who responded, three (25%) gave a rating of 5; two (16.6%) rated it 4; three (25%) gave a rating of 3 and six (50%) gave a rating of 2. Quite probably some of those who gave the rating of 2 had not actually been exposed to a follow-on activity.

Predeparture orientation that you received before leaving for training - Similar to follow-on, predeparture orientation is not uniformly provided. Two explanations were given for this; they are cited below, without commenting on their merits: a) some participants are so dispersed from Brasilia that it would be too ineffective, time and cost wise, to bring them in for orientation; and, b) the short lead time between selection and actual start date for training does not allow an opportunity for predeparture orientation. (See recommendations). Twenty-one participants (80.7%) rated this item. Seven (33.3%) gave it the highest rating of 5 and an equal number gave it next to the lowest rating of 2. Two persons (9.5%) gave a rating of 4 and the remaining 5 (23.8%) rated it 3.

Question 22: Is there anything else that you would like to discuss that hasn't already been mentioned?

Some participants took advantage of this questions to elaborate on the need for a Ph.D degree in their respective areas. Others cited problems associated with English speakers and non English speakers in the same group and the resulting difficulties in trying to participate in discussions, ask questions, etc. They reflected that English speakers dominated the time leaving little opportunity for interaction for those who communicated through an interpreter.

Many of the participants used this as an opportunity to express appreciation for their training and the concentrated support they received from SUNY.

C. Interview Results (Supervisors)

Question 1: Who in your (office) (institution) has received USAID sponsored training ?

In most instances, two persons on their staff who had participated in a USAID-sponsored training program. The trainees held middle or upper level positions such including researcher, lawyer, program coordinator, finance and control analyst, legislative advisor, anthropologist/linguist, technical advisor and one returned participant is heads the Department of Environment within the state Secretariat for Science Technology and Environment.

One person on the staff received USAID training	2
Two persons on the staff received USAID training	5
Three persons on the staff received USAID training	2

Question 2: How (was) (were) this / these persons selected ?

In responding to this question, most of the supervisors stated that they selected /nominated persons for training based on their: job responsibilities, educational background, potentials for growth, initiative and interest and English language proficiency. In several instances such as Indian rights and environmental law, the person selected was the only one in the office with prerequisite specialized (legal) training. Since the intent of training was to support work being done primarily by small grantees, the pool of candidates was limited.

Question 3: How many of those who received training are still on your staff ?

In 6 out of 9 cases supervisors indicated that persons who received training had remained on their staff. Two persons are still in training but are expected to return to the same office.

Questions 4 - 5: How many of those who received training are in the same position and performing the same duties ? How many are performing more complex responsibilities ?

Whereas most persons have the same position title and "official" job description they had before training, one half of the supervisors responded that staff persons in reference are performing higher level duties. Responses anticipated that others will be assigned more responsibility as organizations expand their mission and are able to increase the level of operating resources.

Question 6: How many received promotions after completing their training ?

A number of the organizations represented in this evaluation are NGOs that operate on small budgets. Job promotions are not automatically made within these organizations, in fact, promotional opportunities are rare. This, likewise, is the case in the sampled government offices.

Nevertheless, one supervisor responded that, following training, a member of his staff had received a promotion. Another stated that, assuming available funding for a new proposal, a returned participant on his staff will be promoted. Others responded that no promotions had been made to their staff following completion of training.

Question 7: Has anyone received a demotion since completing the training? If yes, on what basis?

No person has received a demotion.

Question 8: On a scale of 1 (lowest) to 5 (highest), how do you assess the appropriateness of the training that your staff received?

The supervisors were unanimous in assessing the training as being highly appropriate and meeting the purposes for which it was intended. With one exception, they assigned a rank of 5 to this item; one person ranked it as 4.

To what extent are they able to apply the training in their work?

Generally, supervisors responded that returned participants are effectively applying the skills they acquired during training. They described new approaches to solving problems attributable to the training. One supervisor spoke of the expanded capabilities of NGOs to transmit information to the public which he attributed to USAID sponsored training. Another discussed the application of training not only in the day-to-day work place but also as inputs to policies and operations of the board of directors.

Question 9: Please give some concrete examples of the impact of the USAID training including impact on other staff.

Most of the responders stated that, as a result of training, their offices are being operated more efficiently, that individuals are more interested in work and that morale is higher because employees see the potential for professional development. Following are some other responses:

* As a result of Arthur Guerra's training and U.S. contacts, GREA has collaborative projects with John Hopkins University and with the National Institute for Drug Abuse Study.

* Luis Carlos was appointed to the Board of Directors of the

Institute for Amazon & Environmental Studies and he is publishing articles for a national newsletter.

* Greater nationwide attention is being focused on the problem of substance abuse as a result of a social marketing strategy that was developed by two participants.

Question 10: To what extent have those who received training been involved in training others? How do you rate their effectiveness in this area?

All responded that new information and skills acquired during training are being passed on to others. In some cases this has occurred in a structured forum or a series of seminars conducted within the office; in other instances information is informally shared on an ad hoc basis to solve specific problems or whenever there is a window of opportunity to work on a one-to-one basis.

Question 11: Of those who received training, what are their future needs in the area of training?

Most of the responses were emphatic in citing a need for continued training, although only three or four cited specific training needs. According to one supervisor whose office is responsible for budget, oversight and control, employees (including three returned participants) need more detailed training at the operational level since their work is unprecedented and all of the operational systems have to be developed. The responder noted that their prior (USAID-sponsored) training, while useful, dealt with broad generalities. Now there is need for more basic "know-how" as relates to budget control and monitoring systems.

A supervisor in the area of alcohol and drug dependency (GREA) responded that further training is needed in evaluation techniques, how to measure the impact of drugs awareness education and outreach efforts especially as they relate to students.

A dramatic appeal was made for more training in the areas of environmental law, conservation and responsible use of natural resources. According to one responder, "5 or 6 six years ago no one talked about the environment. Brazilian universities are now just beginning to offer courses in these fields and professional who studied in other areas must now be re-trained in conservation. This need is most acute in mining states."

Other responses included the need for training in laboratory analysis, management of forest reserves, analytical skills, proposal writing and project implementation.

Question 12: What suggestions can you offer to improve the training programs of USAID?

Question 13: Is there any other relevant information that you would like to mention ?

Only a few of the interviewees gave specific responses to these two questions. One person (from the Ministry of Finance) asked that more emphasis be placed on in-country training. Further amplified, this response was a request for in-house training and technical assistance.

A supervisor from the Secretariat of Science, Technology and Environment, while not offering concrete suggestions, commented on the dilemma of exposure to new ideas and trying to apply them within the Brazilian context. Reference was made to the outright absence of legislation, poorly written legislation and conflicting codes that obstruct the application of the kind of environmental protection laws that exist in the U.S. He asked whether USAID could assist Brazil's efforts to accelerate policy revisions.

Another, whose response paralleled those given by some of the participants, commented on the difficulty of meeting expectations of individual participants when they attend training programs as part of a group, especially when members of the group have widely diverse backgrounds and levels of English language proficiency.

III. Administration and Management

This section will address SUNY 's responsiveness to A.I.D./Brazil guidance as to areas of training and selection of trainees and training activity, and SUNY's effectiveness in carrying out that training (staffing, cost, level of output).

1. Does the SUNY's training support strategic objectives of AID/Brazil, or of LAC effectively?

The most recent Action Plan for A.I.D./Brazil (FY 94-5, approved in early 1993), lists three strategic objectives, related to countering deforestation of the Amazon (alternative, environmentally sound, sustainable land use practices); family planning; and reduced rates of HIV transmission in the major urban centers of Sao Paulo and Rio. Areas of SUNY's training activity are carried out under two of the three strategic objectives, omitting family planning, which has subsequently been de-emphasized by the mission. Training is also being implemented in three areas under "other" in the Action Plan: i.e., economic growth/modernization, democratic initiatives (which reflect Agency-wide strategic objectives) and drug use awareness.

Operating within the ADC strategic framework, A.I.D./Brazil no longer centers on long-range objectives where institution-building might be appropriate but rather it addresses targets of opportunity as much as possible, often training current leaders via short courses and study tours in the United States looking to a quick impact given its diminishing resource base. (A.I.D./Brazil's work

with the next generation of scientists and environmentalists in the Amazon region is a clear exception.)

Reflecting this need for quick response and flexibility, A.I.D./Brazil sometimes uses SUNY under a work order arrangement which keeps open, under USAID determination, the selection of training areas, training candidates and occasionally even site selection. The USAID makes its determinations in ongoing collaboration with the American Embassy, e.g. in setting the topic areas for Economic Modernization training, and in consultation with SUNY. However, many training initiatives also arise from SUNY's independent efforts.

The work order arrangement is an anomaly in the participant training field which with all its benefits of flexible response and control maintenance by the Agency, has the potential for inefficiencies in a training provider's operation. The great majority of SUNY's training arrangements have to be customized either because this is the most responsive mode to meet needs of the trainees or due to short lead times. When due to the latter, shortened availabilities for training may preclude consistent predeparture orientation and may curtail options for survival English training. The study tours particularly must be crafted to the needs of the particular handful of professionals visiting the U.S. Budgetary realities resulted in a modification of the SUNY contract (FY 1992) to include more person-months of study tour activity than either Short-term Training (STT) or LTT in both FY 1992 and 1993. One school of thought argues that the longer term gains from study tours are more difficult to assess than from STT or LTT events, given that study tours are less formalized than classroom training. However, in as relates to short term impact, one might argue that study tour participants return to a workplace where they can immediately implement (some of what) they learned.

The work order process also has the potential to foreshortens the means of selecting the most suitable trainees, with heavy reliance placed on peer nomination by previous trainees and members of other networks who may not fully understand A.I.D./Brazil's training purposes and goals. On the plus side, a benefit of this strategy is that training initiatives support and are integrated into other USAID technical assistance projects, which is a way to focus limited funds. Even so, a more systematized, criterion-based and transparent selection process is preferable, and would require greater lead times and probably longer training investments for more trainees. Such a recommendation must be weighed by A.I.D./Brazil against the realities of its shrinking funds, staff and time left in-country. Yet, these realities may also deprive SUNY of the chance to provide more systematized, potentially lower-cost and higher-impact training service.

English or Spanish competency is called for in the original contract's SOW selection criteria for trainees, as well as leadership position or potential; and giving special emphasis to the targeting of women. Statistics indicate that women are well

represented among trainees. The records also show equal effectiveness in targeting current and potential leaders. However, it appears that language competency has been handled by making the language of instruction at the training program fit the circumstances of the selected candidate rather than the reverse. Although SUNY has been able to find some training programs in Portuguese, the use of interpreters is at a level far exceeding the 1.4% of program costs envisaged in the original contract: 18.0% for FY 94. Conceivably this correlates with the increased numbers of 3 week short term training programs. This is an area that the mission may wish to review.

2. Level of Effort.

SUNY in the first year of its activity (FY 1991) placed 14 Brazilians in 39.25 person-months of training or study tours. Excluding LTT, which has been restricted to the GCC area (Global Climate Change, alternative Amazonian land use), with no more than 3 trainees in any year, the figures have risen as follows:

	<u>No. of Trainees/Person-months of Trng.</u>			
	<u>FY 91</u>	<u>FY 92</u>	<u>FY 93</u>	<u>Total</u>
Study tours	11/8.25	39/28.21	43/29.86	93/66.32
STT	1/3.61	10/21.32	16/28.5	27/53.43
Follow-on workshops			13/ 1.86	13/ 1.86
TOTALS:	12/11.86	49/49.53	72/60.22	
Adding in LTT:	2/27.39		3/29.21	5/56.60
TOTALS:	14/39.25	49/49.53	75/89.43	

The rising curve suggests that once full funding was made available to SUNY and its placement system became organized, it has maintained a good head of steam. When taken by program area, GCC shows a higher level of effort in both number of trainees and person-months compared to the other four (Democratic Initiative, Drugs Awareness, AIDS Reduction, Economic Modernization). This is proper given the centrality of GCC to the A.I.D. strategy in Brazil:

	<u>No. of Trainees/Person-months of Trng.</u>			
	<u>FY 91</u>	<u>FY 92</u>	<u>FY 93</u>	<u>TOTAL</u>
<u>Totals/STT, LTT, Study tour, Follow-on</u>				
GCC	3/31.0	29/36.03	34/64.93	66/131.96
Drugs Awareness	11/ 8.25	0	16/ 5.61	27/ 13.86
AIDS Reduction	0	10/ 7.07	5/ 3.07	15/ 10.14
Democr. Init.	0	0	6/ 3.96	6/ 3.96
Economic Modern.	0	10/ 6.43	14/11.86	24/ 18.29

Level of effort by program area does not necessarily measure

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immediacy of impact. (In this case, level of effort mirrors funds available for each program area.) Many GCC training activities, where LTT is concentrated, enhance the capabilities of Brazil's new generation of scientists and administrators who will work over the next several decades measuring, analyzing and guiding Amazonian land use; the impact of Democratic Initiative training (building trust in public institutions by enhancing effective corruption and tax evasion controls) is attuned to the immediate political cycle as well as Brazil's long term needs.

3. Costs of Training and Study Tours.

First, let us look at numbers of trainees and raw aggregate costs:

	<u>No. of Trainees/Aggregate \$ Costs</u>			
	<u>Thru 9/93</u>	<u>in FY 94</u>	<u>Total</u>	<u>Contract Fig.</u>
STT	27/61,394	30/ 55,072	57/	49
LTT	5/30,766	3/ 45,540	9*/	8
Obs./Conf.	93/86,211	47/336,914	140/	145
Fol.On/ICT	0	3/ 42,356	<u>36/</u>	<u>36</u>
			242	238

* An additional LTT participant is anticipated from counterpart funding (no cost to A.I.D.).

SUNY expects to raise the number of Observational Tour/Conference trainees to meet the contract goal of 145; even if not, it will have exceeded the aggregate contract trainee goal, 238, by four including a relatively expensive LTT placement (9 vs. 8) and by 8 STT placements. Follow-on activities (In-country Training) were initiated in 1992; some were carried out through the joint support of USAID, other donor organizations and public or private entities in Brazil. These activities gained momentum and were formally included in the SUNY contract amendment in the FY 93 program year.

Changes in cost per participant by area of training are worth noting:

	<u>Tuition Cost per Participant by Area of Training</u>	
	<u>Thru 9/93 (Amend. 4)</u>	<u>in FY 94 (9/93 PIO/T)</u>
STT	@ 2,274	@ 1,836
LTT	@ 6,153	@ 3,833
Obs./Conf.	@ 927	@ 1,095
Fol.On/ICT	N/A	@ 1,177

Comments: The per-trainee tuition rates for STT are below average given that the mean length of training is between 1 and 2 months (FY 1994), and they are edging down.

The figure for Follow-on, in-country training heavily serving Democratic Initiative and Economic Modernization returnees is unexceptional, if not low, for in-country training programs.

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Allowances: Trainee allowances for living expenses have been steadily dropping as a percentage of total program costs. While this shows good administrative control over stipends, it also shows that other program costs have been proportionately rising:

1991: 60.4% 1992: 54.1% 1993: 47.3%. 1994: 35.7%.

4. Administrative Costs and Management.

Another positive observation is that some component costs of the administrative budget have decreased considerably as the program matured. Consultants, used to turn up appropriate trainee candidates in Brazil, to assist in selection and evaluation and follow-on, and to find cost-effective training institutions in the U.S., dropped from a net FY 93 figure of \$43,200 to a net \$8,000 for FY 94, \$4,000 each in Brazil and SUNY. (The FY 93 and 94 consultant line items include subcomponents which represent a shift of Maria Jose Gontijo's remuneration in Brazil off the "salary" line item to avoid overhead surcharges. Her earnings are not properly speaking a "consultant" cost; Ms. Gontijo is a full-time local employee.)

Even at the lower FY 94 level, the need for a net \$8,000 in consultant time might be questionable at this stage in the program's life cycle unless used almost exclusively for follow-on.

Currently there is no subcontract activity; an earlier \$25,000 line item entry was intended as a setaside for HBCU training institutions but was later transferred directly into the training budgets as educational costs. Quite possibly this transfer was made to avoid indirect charges applicable to the subcontract category in FY92. There is not much evidence that Grey Amendment compliance has been a site selection criterion in this process of trainee "rolling selection."

Overall administrative costs, while remaining well below the \$1,156,910 contract figure, at \$868,230 for the four years, have jumped from FY 93 to FY 94, \$223,459 up to \$294,168. This may be partly explained by the fact that overall funding (and therefore programming LOE) for FY '93 was only \$560,000 while FY94 funding increased by 63% to \$895,000.

Here are some main components, which do not include overhead (now 31.9%) among others:

	<u>FY 91</u>	<u>FY 92</u>	<u>FY 93</u>	<u>FY 94</u>
Salary, NY & Brazil	51,723	89,257	106,142	114,924
Consultants	6,702	43,900	66,257*	32,000**
Travel/per diem	6,836	6,398	2,376	13,000
Brazil office ***	4,214	10,990	8,985)13,700
SUNY/OIP, ***	860	1,262	1,426)

- * Includes Ms. Gontijo \$23,057
- ** Includes Ms. Gontijo \$24,000
- *** Utilities, communication, supplies, but not rent

Correcting the Salary and Consultant lines for Ms. Gontijo:

Salary	51,723	89,257	129,199	138,924
Consultants	6,702	43,900	43,200	8,000

Comments: Corrected figures show that the real salary jump took effect from FY 92 to 93, when in-country Manager David Fleishcer increased from 50% to 63% and when Ms. Gontijo was hired.

FY 94 travel/per diem increase suggests overcompensation for the unusually low FY 93 figure; nonetheless SUNY and the Brazil office do need increased visitation rights of some order, particularly since the Chief of Party lives in Albany, not Brasilia.

The office costs, chiefly communication on the Brazil side, show the vital importance of having telephone calls originate whenever possible in Albany and not Brazil where long-distance charges are far higher. A "call me back, quick" system when Brasilia needs to start a conversation might save considerably. On balance, some high costs are unavoidable as the SUNY office in Brasilia has heavy communication costs within Brazil as city-to-city charges are extremely expensive. In addition to selection, recruitment and networking, the SUNY office in Brasilia relies heavily on telephone communication in processing all of the predeparture paperwork for trainees. The SUNY office shoulders as much of program communication costs as possible.

Counterpart: One explanation for the rising salary costs is that the salary related counterpart figures (SUNY contributions of staff time and chargeable administrative expenses) have dropped:

	FY 91	FY 92	FY 93
Salary-related	51,519	16,890	15,288
Office-related	32,315	10,012	10,926

SUNY has however, increased other counterpart contributions in training related areas (tuition, international travel, honoraria, living stipends, English training). The FY 94 counterpart contribution figure is still to be calculated. According to SUNY's most recent documentation, the current estimate of aggregate counterpart contribution is \$472,800. SUNY feels it will reach the contract's suggested amount of \$745,000 through a heavy push in other FY 94 ties including the 9th LT trainee's tuition (see 3 above), staff contributions and follow-on career development, especially given that FY 94 training activities will represent 35% of the scope of work.

This still leaves a present shortfall of \$272,200, more than half the counterpart contributed over the first three years, to be produced in the forth and final. AID/Brazil will do well to watch

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this activity in FY 94 which could serve to reduce actual administrative expenditures.

Finally, some cost ratios of interest, expressed in %:

	<u>Amend. 3</u> <u>9/91, %</u>	<u>Amend. 4</u> <u>9/92, %</u>	<u>PIO/T</u> <u>9/93, %</u>	<u>CONTR</u> <u>%</u>
Admin./Total Cost	43.3	43.6	32.9	51.4
Admin./Program	76.3	77.2	49.0	107.
Interpret./Program	7.2	12.1	18.0	1.4
Tuition/Program	26.2	23.7	18.0	20.7
Allowances/Program	54.1	47.3	35.7	-

Comment: the ratio of Administrative costs to overall costs under the contract (51.4%) was later reduced to 33% by informal agreement between SUNY and USAID Brazil. Rising ratio of interpreter costs to program correlates with high increase in observational visit type training. Administration/Total ratio is down for the first time to the 33% figure in FY 94. Nonetheless the absolute administrative costs shows a noticeable increase from year to year while SUNY has been able to reduce administrative costs from the original amount/percentage stipulated in the contract.

Summary: Altogether the program is conscientiously and intelligently executed by staff of high professional quality and responsiveness. Overall costs incident to the SUNY contract compare favorably with other A.I.D. training contracts and in some categories SUNY costs are lower. The preceding tallies and comments are intended only to identify anomalies or trends that the project manager should watch in the final program year of the contract.

The short-term impact of SUNY's training activities will probably result most strongly from the Justice Ministry's training in antitrust procedures and the anti-corruption and budget management activities for Brazilian technocrats. In the longer run, the Global Climate Change training may make the largest impact on the future of Brazil by assisting the next generation of young, activist Brazilian scientists and their Environmental Law and Environmental Impact colleagues, who work and live in the Amazon region.

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