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CLASP EVALUATION NEEDS ASSESSMENT

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CLASP EVALUATION NEEDS ASSESSMENT

FINAL REPORT

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We would also like to thank Dr. Lee Cronbach and his graduate students at Stanford University whose critical thinking helped improve and focus the work. Similarly, we acknowledge the contribution of members of Aguirre International who served as a resource to the team on the CLASP I process evaluation.

Finally, thanks are due to the LAC/DR/EHR office for their efforts in attempting to maximize the utility of evaluation results to program managers.

While the conclusions are the authors own, to the extent that the results reported here contribute to the usefulness of evaluation in improving training programs, all of these individuals deserve full credit.

EXECUTIVE SUMMARY

A. Introduction

In June of 1989, LAC/DR/EHR contracted with the Academy for Educational Development, through its Central American Education Field Technical Support (CAEFTS), to carry out a series of activities related to the evaluation of Central American Peace Scholarship program (CAPS). These activities had as objectives: developing an evaluation plan and prototype instrument for CLASP evaluation; determining the consistency of the evaluation plan with the information needs of Central American Missions in terms of the effects of their CAPS programs on returned participants; and outlining methodological approaches that would meet these evaluation needs. A team, consisting personnel from Juarez and Associates, a subcontractor to the Academy completed the activities over approximately a three-month period.

B. Background

On September 28, 1986, the Academy for Educational Development and A.I.D. signed amendment Number 9 to the Central America Education Field Technical Support (CAEFTS) contract. Included in this amendment was \$509,434 from the Central America Peace Scholarships (CAPS) program to be used exclusively for purposes of evaluating the CAPS program.

This report presents the results of a technical services order (TSO) that is the third in a series of draw-down TSOs designed to make use of this \$509,434 for CAPS evaluation purposes. The objective of this TSO is to assist the LAC Bureau to obtain information on the evaluation needs of USAID Missions in Central America with regard to their CAPS training programs and the effects of training under CAPS on individuals who have returned from the U.S. and are now re-integrated into their home communities. This TSO builds on previous ones by identifying specific evaluation concerns of the Central America A.I.D. Missions and developing appropriate evaluation strategies/methodologies for responding to these concerns.

C. Study Design

A two-person team had primary responsibility for the study. This team consisted of Dr. Ray Chesterfield, an educational anthropologist with ample experience in the evaluation of

education and training programs in Latin America, employed by Juarez and Associates, and Dr. Harold Levine, a specialist in qualitative evaluation methodology at the UCLA Graduate School of Education. The team was supplemented by Dr. Lee Cronbach, a measurement and evaluation specialist from Stanford University, who facilitated the Stanford workshop, and by Ron Rodgers and Beatriz Bocalandro of Aguirre International, the CLASP I evaluation contractor. These latter individuals served as resources on the CLASP I process evaluation for the team.

Three major activities were carried out in conducting the study: a review of relevant documents to develop a prototype instrument and evaluation plan; a critical review of the plan and instrument in a workshop conducted at Stanford University; and visits to Central American AID Mission to discuss Mission evaluation priorities and examine the consistency of such priorities with the evaluation plan.

An additional activity, training personnel of the USAID Training Office in Costa Rica in the use of focus group techniques for evaluating the effect of CAPS training, was also carried out under this TSO. This activity was conducted by Mr. Regino Chavéz of Juarez and Associates. The results of the focus group training are reported in Appendix C of this document.

D. Major Findings and Recommendations

1. Conclusions

Discussions with the five Central American USAID Missions showed that the approach to outcome evaluation of involving the users of evaluation findings as colleagues in the evaluation efforts and developing a flexible, multi-method evaluation plan was viable. Missions were especially interested in quick-turn-around qualitative studies of particular groups or focused on questions of special interest.

The information needs identified by Mission personnel on the effects of CAPS training were consistent with the general areas defined in the prototype instrument. These were: leadership, employment enhancement or advancement, the transfer of skills and knowledge acquired in the United States to the home environment, and follow-on in terms of further contact with individuals in the U.S., with fellow trainees, or with continued training. Mission personnel also identified a number of specific issues of relevance within the culture or cultures of each country.

Mission staff also saw the tracking of program compliance done under the CLASP I evaluation contract as extremely useful. They further identified data on the quality of different training programs and Experience America activities as important information needs.

All Missions were in favor of receiving technical assistance from evaluation specialists in planning evaluation activities for CLASP II as was suggested by the Stanford workshop and in organizing existing outcome data for systematic analysis. Thus, technical assistance is required both in planning outcome evaluation activities and in data reduction and analysis of existing information.

Each of the Missions visited has a variety of information needs related to specific groups or concerns of their CAPS program or country. Many of these will have wider implications and may be used to develop more encompassing evaluation approaches where the questions are found to be shared by a number of Missions. Findings of evaluation activities in individual countries or sub-regions should, therefore, be disseminated throughout the region.

The types of evaluation needs identified by the Missions were consistent with the three-level evaluation approach developed by the team. In addition to the regional data collection based on a standard instrument to be used by AID/W for reporting purposes, each Mission also identified information needs that could be met through focused surveys and those which required intensive qualitative data collection.

2. Recommendations

General Recommendations. As the evaluation needs of the Missions include the tracking of CLASP policy compliance, cross-national survey data on program outcome, and quick-turn-around data on local cultural issues related to outcomes, the process and outcome evaluations of CLASP should be integrated to the extent possible. Thus, there should be systematic sharing of information that results from studies of outcomes of CAPS, carried out under the AED CAEFTS contract, with the process evaluator for CLASP I.

We also recommend that the CLASP II evaluation include both a process and outcome component. The multiple approaches will require the evaluator to have expertise in data base management systems, multi-method qualitative evaluation design, and large-scale survey research design.

Systematic monitoring of U.S. training and training experiences should be part of the process component of the CLASP II evaluation as the quality of these experiences is a priority concern for Mission personnel.

Technical assistance in collecting, reducing and analyzing existing outcome data should be built into CLASP outcome evaluation activities as should planning future evaluation

activities.

AED and the CLASP I process evaluation contractor as well as the CLASP II evaluator should include in the design of their evaluation activities a plan for dissemination of the results throughout the region.

We recommend that the focused surveys (Tier 2) and in-depth qualitative evaluation studies (Tier 3) be organized into near-term and long-term efforts. Near-term evaluation activities would be those to be funded under the monies remaining in the Academy for Educational Development's CAEFTS project for CAPS evaluation activities and will take place in FY 1990. Long-term activities would be included in an outcome evaluation component of the CLASP II evaluation contract and would be funded either through a central base contract or by Mission buy-ins.

Near-term Recommendations. The near-term evaluation activities should be prioritized for funding based on their potential for forming a base of information on which the CLASP II evaluation can build and on their potential relevance throughout the region or a sub-region. Our recommendations for near-term activities are as follows:

1. Methodological assistance to all Central America Missions to systemize and computerize existing instrumentation and data. These activities would provide a complementary data base to that of the returnee questionnaires administered once per country by Aguirre International, the process evaluator for CLASP I. They would allow each country to aggregate data for ethnic, gender and age comparisons and would serve as a starting point for longitudinal studies. The level of effort would be 12 to 15 weeks of a senior evaluation methodologist's time to visit all of the five Missions in question.

2. An in-depth case study of the appropriateness of the Experience America activities provided by training institutions for Belizean students given their language and familiarity with the U.S. and the wide use and dissemination of American television programs in Belize. This would be carried out through interviews with returned participants and would require two months of effort by a qualitative methodologist. This activity is given high priority because of its relevance to the English-speaking Caribbean.

3. A focused survey on the participation of returned female CAPS trainees in Honduran society. Again, this study, which would deal with levels of participation and cultural constraints, is of priority because of its wider implications given the emphasis of USAID on women in development. This study would require a total of approximately three person-months of effort by a two-person team consisting of a qualitative evaluation

specialist and a survey specialist.

4. Several Missions identified analyses of the impact of a number of returnees within a single institution as an important evaluation need. Given the wide-spread interest in such an institutional analysis, it should be undertaken as a pilot study in one institution, such as the Ministry of Education in Costa Rica, where a relatively large number of returned scholars are working. A study of this type would require approximately a month of work each from a qualitative methodologist and a specialist in organizational analysis.

5. The impact evaluation for CAPS I, identified as a need by the Belize Mission is also a priority. This study, which would involve a total of three person-months of effort from a three-person team, could be used to pilot items developed in the prototype Tier 1 instrument.

Long-term Recommendations. We recommend that the other evaluation studies detailed in the findings section of this report be carried out as appropriate under an outcome component of the CLASP II evaluation. We have supplied illustrative time periods and years for these studies in our discussion in that chapter. Recommendations for long-term activities are as follows:

Time for formation of a regional item bank through interaction with Mission and USAID/W personnel should be built into the evaluation activities for CLASP II. This should be part of a general instrument development activity taking place during the first year of CLASP II. The instrument developed should be used to measure the effects of the program in the second year and in subsequent years, as appropriate. CLASP I long-term returnees should be included in the survey sample.

An assessment of Mission evaluation needs, similar to that reported in this document for Central America, should be carried out in the other CLASP II countries as a first-year CLASP II evaluation activity. If the importance of methodological assistance found in Central America is confirmed for other Missions through this assessment, an evaluation methodologist should be supplied, where requested, to help systematize outcome data collection efforts.

Technical assistance in planning evaluation activities should be provided each year by the CLASP II evaluation contractor. This assistance could take place as part of the training plan update exercise engaged in by the Missions each year, and would incorporate appropriate methodologies for dealing with new information needs.

Together with the development of the regional survey instrument in the first year of the CLASP II evaluation, we recommend that focused surveys and in-depth qualitative studies of special interest be started. The priorities, at least for Central America, should be focused surveys of local definitions of leadership and constraints to assuming leadership roles in the different cultural contexts of individual countries. In-depth activities would be case studies with a small sample of returnees to be studied longitudinally. Other studies would be designed and scheduled on the basis of the needs assessment conducted during year one of the evaluation.

We recommend three positions as necessary key staff to carry out the outcome evaluation component of the CLASP II evaluation. They are: a qualitative evaluation specialist with experience in conducting multi-site multi-method evaluations; a survey research specialist; and a data manager experienced in the storage and retrieval of qualitative and quantitative data sets. They would be complemented by consultants and host country data collectors, as needed.

I. INTRODUCTION

In June of 1989, LAC/DR/EHR contracted with the Academy for Educational Development to carry out a series of activities related to the evaluation of Central American Peace Scholarship program. These activities had as objectives: developing an evaluation plan and prototype instrument for CAPS; determining the consistency of the evaluation plan with the information needs of Central American Missions in terms of the effects of their CAPS programs on returned participants; and, assisting the Missions in using qualitative methodologies in meeting their information needs. This document reports the results of the first two of these activities which were carried out by a team consisting of personnel from AED and its subcontractor, Juarez and Associates, Inc. The results of the third activity, focus groups conducted with returned scholars in Costa Rica at a later date, are included as Appendix C of this document.

A. Background

On September 28, 1986, the Academy for Educational Development and A.I.D. signed amendment Number 9 to the Central America Education Field Technical Support (CAEFTS) contract. Included in this amendment was \$509,434 from the Central America Peace Scholarships (CAPS) program to be used exclusively for purposes of evaluating the CAPS program.

This report presents the results of a technical services order (TSO) that is the third in a series of draw-down TSOs designed to make use of this \$509,434 for CAPS evaluation purposes. The objective of this TSO is to assist the LAC Bureau to obtain information on the evaluation needs of USAID Missions in Central America with regard to their CAPS training programs and to gain further knowledge on the effects of training under CAPS on individuals who have returned from the U.S. and are now re-integrated into their home communities. This TSO builds on previous ones by identifying specific evaluation concerns of the Central America A.I.D. Missions and developing appropriate evaluation strategies/methodologies for responding to these concerns.

Three experiences served as sources of information for this TSO. The first experience, or phase one, was conducted between January 3 and February 26, 1989. The objective of this phase was

to develop procedures for carrying out in-depth case studies of returned CAPS scholars in selected Central American countries. During this phase, the contractor identified and reviewed relevant documents, met with AID/Washington, USAID/Costa Rica, USAID/Guatemala, CAPS contractors, Aguirre International and the CLASP II Project Paper team. Case study procedures and a fieldwork manual were developed, and a sampling plan was selected for Phase Two. Fieldworkers for Phase Two were also identified.

Phase Two was carried out between March 1, and June 15, 1989. In this phase, case studies were conducted in Guatemala and Costa Rica, two countries that have emphasized the training of leaders. Based on the findings from the case studies a report was prepared that: (a) summarized the effects of training as related to career advancement, perceptions of the U.S.; (b) discussed lessons learned for training leaders; (c) made recommendations for subsequent activities of the CAPS Case study evaluation; and, (d) presented a draft evaluation design for CLASP II.

The draft evaluation design was used as a departure point for a workshop held over the three-day period, May 3-5, 1989 to explore design options for an impact evaluation of CLASP II. The workshop brought together two quantitative evaluation design specialists, a sampling specialist, and two qualitative evaluation specialists with members of the CLASP II project design committee and a representative from OIT. The major insights resulting from this collaboration were: the USAID Missions will be the primary audiences/users of the impact evaluation results; the impact evaluation should be a collaborative effort involving the contractor and the Mission technical officers; specific evaluation studies carried out at the mission level should also include cross-cutting questions/constructs important to meeting the information needs of other audiences (e.g. AID/W, Congress); and, the evaluation design should be flexible enough to respond to questions that arise as the CLASP II program evolves over time.

The study reported in this document incorporates these insights as it piloted a number of suggestions proposed for the CLASP II evaluation design.

The objectives of this study were: to determine the CAPS evaluation priorities of the USAID Central American Missions; to work with Mission personnel in developing appropriate methodological approaches to meet their evaluation needs; and, to identify specific evaluation studies in countries where priorities and methodologies have been identified. The study also begins to identify both local culturally-specific constructs related to CLASP training outcomes and cross-cutting constructs that can be used to aggregate program-level case study data. Where appropriate, these constructs can be tested and refined in

subsequent activities funded with the remaining monies in the AED contract. Such activities can be designed to form a data base that can be taken advantage of in the CLASP II evaluation.

B. Organization of the Report

The major chapters following this introduction describe the procedures used in conducting the study, detail the findings and present conclusions and recommendations resulting from these findings. Specifically, Chapter II discusses the activities carried out and the assumptions under which the study team operated. Chapter III, which forms the bulk of the report, presents the findings and develops tentative methodological approaches for meeting Mission CAPS evaluation needs. Chapter IV presents the team's conclusions and recommendations for near-term and long-term evaluation activities. Appendix A contains the evaluation plan and prototype instrument developed as part of the task order. Appendix B presents the team's findings of Mission needs and refinements made in these assessments through their review by Mission personnel. Appendix C provides the trip report and instruments used in training Costa Rica AID Mission personnel in the use of focus group techniques for CAPS evaluation purposes.

II. PROCEDURES

This chapter discusses the procedures followed in carrying out the activities of the evaluation needs assessment. The first section details the scope of work. The second describes the study team. The third outlines the steps followed to work with the primary users of outcome evaluation results, the USAID Missions, in determining evaluation needs. The final section presents the assumptions made by the team in developing the methodological procedures followed.

A. Scope of the Study

The principal objectives of this study were: to develop initial local culturally-specific constructs related to CLASP training outcomes as well as to begin to identify prototype measures for aggregating data on program effects at the sub-regional or regional level; and to work with Mission personnel in Central America in developing appropriate methodological approaches to meet their evaluation needs. Where appropriate, the approaches and constructs will be tested and refined in subsequent activities funded through the CAEFTS contract, thereby forming a data base that can be taken advantage of in the CLASP II evaluation.

An additional activity funded under the same Task Order was to carry out focus group research with long-term CAPs returnees in Costa Rica. The Mission had identified this activity as an evaluation need. As the qualitative methodology to be used may be applicable in other countries as needs are identified, this work was included with the evaluation needs assessment. The activity did not take place at the time the field work for this report was carried out. The results of that activity have, therefore been included as an appendix to this study.

Specifically, the activities reported in this document were: a review of relevant documents to develop a prototype instrument and evaluation plan; a critical review of the plan and instrument in a workshop conducted at Stanford University; visits to Central American AID Mission to discuss Mission evaluation priorities and examine the consistency of such priorities with the evaluation plan; and preparation of a final report that summarized the findings from the Missions and presented a user-generated evaluation plan.

B. Study Team

A two-person team had primary responsibility for the study. This team consisted of Dr. Ray Chesterfield, an educational anthropologist with ample experience in the evaluation of education and training programs in Latin America, employed by Juarez and Associates, and Dr. Harold Levine, a specialist in qualitative evaluation methodology at the UCLA Graduate School of Education. The team was supplemented by Dr. Lee Cronbach, a measurement and evaluation specialist from Stanford University, who facilitated the Stanford workshop, and by Ron Rodgers and Beatriz Bocalandro of Aguirre International, the CLASP I evaluation contractor. These latter individuals served as resources on the CLASP I process evaluation for the team.

C. Procedures

Three major activities were carried out in conducting the study. These were: development of a prototype instrument and evaluation plan; organization of a workshop involving USAID personnel and members of the consulting and academic communities to review these products; and visits to the AID Missions in Central America.

Development of Instrument and Evaluation Plan. The first step in developing the evaluation plan was to review the field notes collected as part of the CAPS Case Studies undertaken with 31 returned participants, their employers and members of their communities in March of 1989 (Chesterfield, et al., July 1989) as well as other relevant documents such as the summary of options for a CLASP II evaluation design resulting from a May 1989 seminar in Washington, D.C. (Bernbaum, May 1989) and the published reports of the CLASP I process evaluator (Aguirre International, 1987a and 1987b). Based on this review, a series of questions were developed. These questions were intended to capture the returned participant's point of view as to the effects of CLASP training after return to the home country. Two levels of questions were developed: easily administered questions of interest on a regional level; and focused survey questions designed to answer specific questions posed by local AID Missions and to provide a "deeper" cultural meaning for the questions posed at the regional level.

The regional surveys were labeled "Tier 1" studies whereas the focused surveys were labeled "Tier 2" type studies. A third level, "Tier 3" studies using in-depth qualitative methods, was also identified. For each of the first two types of studies, sample questions with examples from the field notes were generated. (See Appendix A: Prototype Instrument and Evaluation Plan, for examples of the questions.)

Stanford Workshop. The document presenting the three-tiered evaluation plan and prototype instrument was used as a starting point for a workshop held at Stanford University during the final week in July. The purpose of the workshop was to bring together AID personnel, the study team, members of the academic community, and the CLASP I evaluation contractors to further refine the CLASP II evaluation plan and prototype instrument. The results of that workshop are presented in section A: Stanford Workshop Results.

Visits to the Central American AID Missions. In September, the team, accompanied by members of the CLASP I process evaluation contractor, visited the AID Missions in Belize, Costa Rica, El Salvador, Guatemala, and Honduras. Meetings were arranged with key personnel involved in CAPS training at each Mission. In each case, copies of the evaluation plan and prototype instrument were given to Mission personnel and the objectives of the team's visit -- to assess the viability of the evaluation plan and refine the instrument, as well as to determine near-term and long-term CLASP evaluation needs of the Mission -- were discussed. In each case, the information provided by Mission personnel was summarized by the team on their return to the United States and sent to the Missions with a request to make any changes or additions necessary (see Appendix B for these summaries and copies of those responses received from the Missions).

The information provided by the Missions was organized according to the three "tiers" of evaluation needs identified in the evaluation plan. Work scopes with levels of effort were developed for each evaluation study and the studies were arranged in terms of those that could be performed in the near-term under funds in the CAEFTS contract and those which could be best undertaken as part of an outcome evaluation component of the CLASP II evaluation. The results of this analysis are presented in section B: Summary of Findings from CAPS Evaluation Needs Team.

D. Assumptions

Several assumptions were made in carrying out this study. First, it was assumed that the process or formative types of evaluation questions were being responded to by the CLASP I process evaluation contractor. A rather arbitrary distinction between process and outcome was, therefore, made for the purposes of the study. We recognize, of course, that there will actually be overlap between the two in the kinds of questions asked of returnees.

Similarly, we assumed that particular aspects of their experience in the United States could not be tied, in a linear way, to specific outcomes. Thus, the focus was on how the

returnee regards his or her experience and its consequences for their lives.

As the study was carried out only in Central America, we have made an implicit assumption that the evaluation issues and the content areas defined in the prototype instrument will have some relevance for the region as a whole. We also assume a refining process for the issues presented in this report in terms of both questions and methodologies will take place as part of the CLASP I process evaluation, the CAPS evaluation activities under the Academy for Educational Development's CAEFTS contract, and a future CLASP II evaluation.

In attempting to develop an evaluation plan, we assumed a five-year evaluation period primarily for purposes of illustration.

We have included follow-on as a general area of interest in examining the effects of CLASP training once a scholar has returned home. We assumed, however, that follow-on activities funded as projects by AID will have their own project evaluations and will not be evaluated specifically under any CLASP II evaluation.

III. FINDINGS

This chapter presents the results of the CAPS evaluation needs assessment. Two activities are summarized. First, findings from the Stanford University workshop that reviewed a draft CLASP II evaluation plan and prototype survey instrument are presented. This is followed by a discussion of the evaluation needs identified by each of the Central American USAID Missions. For each evaluation need, the team has developed tentative study designs and levels of effort which are also provided in the second section of the chapter.

A. Stanford Workshop Results

During the two-day period of July 27 and 28, 1989, a workshop on CLASP II evaluation methodologies was held at Stanford University in Palo Alto, California. The workshop was funded as part of the CLASP II evaluation design work being carried out by the Academy for Educational Development under its Central America Education Field Technical Support (CAEFTS) contract. Participants were Joe Carney, Chief of LAC/DR/EST, David Losk, Training Officer, USAID/CR, Harold Levine, a qualitative evaluation specialist from UCLA, Lee Cronbach, a measurement specialist from Stanford, Ray Chesterfield, an evaluation specialist from Juarez and Associates, Ed Aguirre, Ron Rodgers, and Rebecca Adams from Aguirre International, the CLASP I evaluation contractor, and six graduate students from the Evaluation and Policy Planning division of the Stanford School of Education.

The principal objective of the workshop was to review a methodological approach and prototype instrument (see Appendix A) for assessing the effects of CLASP II training on participants once they have returned to their countries of origin. The conclusions drawn from the workshop can be summarized under three areas: evaluation questions; evaluation design, and evaluation instruments.

1. Evaluation Questions

The major evaluation question related to program effects from USAID's perspective is: What are the best programs to be implementing given the amount of money available? This includes specific questions such as the following:

- What kind of training experience has the greatest effect for which groups when they return home?
- What types of constraints to training utility exist upon return?
- What factors aid in the utilization of CLASP training in a country?
- What are the experiences of different AID Missions?

2. Evaluation Design

There will be one evaluation design for CLASP II that integrates the demographic background data collected for purposes of tracking CLASP policy compliance, data on participant's satisfaction with the training program, and data on the "success" or effects of the training after the participant has spent a significant (6 months) amount of time back in his/her country.

Owing to the cost of data collection and especially data analysis, information on program effects can't be collected from all participants in all countries. All Missions, however, should be continuously involved in the evaluation process. Thus,

- The evaluation contractor will work with Missions to develop an annual CLASP evaluation plan.
- The plan will include a systematic survey of training groups of interest to a Mission.
- Missions will be able to provide input into standard questions to be asked of all sample returned participants.
- Missions will be involved in identifying issues/items to be included as country-specific questions.
- Missions will identify programs to be surveyed
- Missions will identify intensive or in-depth studies to be carried out with training groups of particular interest.
- Missions will schedule the activities to be carried out.

Planning, instrument development and scheduling will take place in the first year of the project. Region-wide surveys will be conducted in the second year of the project and be complemented by intensive case studies of selected training groups. After the third year the results of the evaluation will be studied and revisions made in the design as needed.

3. Evaluation Instruments

An instrument will be developed for surveying returned CLASP participants as to the effects of their training when they have returned home. It will be administered from 3 - 6 months after return to country to a sample of participants. The instrument will consist of the two levels of questions included in the prototype instrument:

-Standard questions to be asked cross-nationally of a significant sample of returnees

-Negotiable questions that reflect specific Mission questions or provide a "deeper" meaning (at the local cultural level)

The instruments will include at least four areas of investigation:

-Experiences and Training in the U.S. and their Transfer to the Home Environment

- Advancement/Enhancement of Position of the Returnee

- Leadership

- Follow-on

Multiplier effects which were initially included as a category in the instrument were dropped when it was decided that this is not an explicit objective of training.

Each area includes both standard and negotiable questions and both levels of the instrument will be asked of all returned participants included in the sample.

Questions will include both open-ended and forced choice formats and may call for interviewer ratings depending on the sophistication of the data collectors.

The instrument will be supplemented by intensive case studies and other qualitative studies of training groups of special interest to the Missions or AID/W.

B. Summary of Findings from CAPS Evaluation Needs Team

Using the evaluation plan developed earlier and amended at the Workshop and the prototype instrument as a starting point for discussion, a team visited five Central American Missions in September 1989 to determine Mission evaluation information needs. The results of the meetings with Mission personnel in Belize,

Costa Rica, El Salvador, Honduras and Guatemala are summarized under each of the three evaluation levels identified in the evaluation plan. The section begins with a discussion of regional surveys or Tier 1 evaluation. This is followed by a presentation of the evaluation needs that can be addressed at the country or sub regional level through focused surveys or Tier 2 level evaluation approaches. The final discussion of this chapter presents the information needs of each Mission that can be met through intensive qualitative research or Tier 3-level evaluations. For each evaluation preliminary scopes of work and levels of effort are also presented.

1. Tier 1 Evaluation Effort: Regional Surveys

Purpose The Tier 1 evaluation effort assumes that returning participants in the CLASP II program are potential change agents in their home countries. That is, they have been introduced to new sets of skills and possibly new sets of values. At issue is what, if any, new skills and values they have learned and actually internalized; and whether they have applied these to make noticeable differences in their personal lives, in the day-to-day substance of their family life, their workplace behavior, and/or in the level of commitment and involvement in the activities of their communities.

As outlined here, the Tier 1 evaluation is intended to provide a regional data base of broad measures of program effects for a significant sample of CLASP II participants (and those long-term CLASP I participants who return during the CLASP II program). Such a data base will be used both by AID/W and by local Aid Missions to generate reports for designated audiences (e.g., the Congress of the United States) and to better re-design unsatisfactory aspects of their current program for immediate remediation.

Content of Tier 1 Survey Instrument Based upon interviews with local Mission evaluation personnel in five Central American countries (Belize, Costa Rica, El Salvador, Guatemala, and Honduras), the CAPS Evaluation Needs Team identified the following four general content areas of widespread interest; and therefore, suitable for a regional data base. These are: training and experience in the U.S. and their transfer to the home country; advancement/enhancement of returnees position; leadership; and, follow-on.

Additional areas were mentioned such as selection procedures, the adequacy of in-country orientation, language preparation, and the like. However, these are omitted from the current discussion as they more strictly refer to the process, rather than the impact, evaluation. In addition, it is assumed that the instrument will include items on returnee background, including socio-demographic data and factual information about

the returnee's U.S. training.

a. Experiences and Training in the U.S. and Their Transfer to the Home Country

Specific issues identified by the Missions include the following:

- What positive experiences did participants have in the United States and what experiences were negative?
- Itemizing specific aspects of the participants' training (including English language instruction and experiences, observation trips, home stay, specialized courses in areas of interest, classes, large group discussions, reading, individual conversations with teachers, etc.)
- Achieving programmatic objectives and understanding what they were.
- Overall satisfaction with the U.S.-based training program and with specific components of it (e.g., quality of courses and teachers, balance of academic and practical training, length of training, work load, amount and type of interaction with U.S. students, etc.).
- Applicability of knowledge and skills learned in the United States to their current job sites. Skills that are useful now. If no skills are useful, why? Was the training related to their line of work? Job held before and after training.
- How has training helped in carrying out job responsibilities?
- Which of the lessons observed or ideas learned in the United States have the participants tried to implement in their home countries.
- Unplanned effects of CLASP beneficiaries and their families?
- How have the trainees' views of North Americans and the United States changed following their stay there? Do they understand the United States system of government? The U.S. value system, including notions of volunteerism, individual initiative, personal responsibility?
- Evidence of increased voluntary activities upon return? Of participation in the resolution of community problems? Of participation in organizations? of "democratic"

activities? of life or family changes?

b. Advancement/Enhancement of Position of Returnee

Mission personnel identified the following specific issues:

-Re-entry to the home country and responses from others (family, friends, co-workers).

-Changes in salary upon return and assessment of whether this may be tied to the U.S. training.

-Changes in job-related responsibilities upon return and assessment of whether this may be tied to the U.S. training.

-Promotion/demotion? Relation of change in job status to U.S. experience?

c. Leadership

Several specific issues around the topic of leadership were identified by the five Missions visited.

-What evidence of in-country leadership exists for the returnees?

-Leadership qualities identified by the returnee.

-Which, if any, leadership qualities were enhanced for the returnee by the CLASP experience.

-Can any "multiplier effects" be identified as a function of the participant's actions?

d. Follow-on

-Did returnees maintain or create new contacts with individual Americans or American institutions upon return?

-Participation in in-country alumni groups and reunions.

-Disseminating information gleaned from the training to other local nationals. How many nationals? Who? How undertaken?

-Needs of returnees for further follow-on activities.

-Continued contacts with the local Mission.

-Specific follow-on activities. How often? With whom?

Format of Survey Instrument Questions used in the survey interview should be in a variety of formats (including open-ended but focused questions, optional choice questions, forced choice questions, and self-ratings). The questions should be given by a trained interviewer who is fluent in the language of the country which is being surveyed. In addition, we are also suggesting a limited number of interviewer ratings and codings of some of the informant responses to provide further quantitative measures of informant experiences. Examples of such questions and interviewer ratings are found in Appendix A: Prototype Instrument and Evaluation Plan.

Administration of Survey Instrument There are a variety of options in how often to administer the survey instrument described above. Our recommendation follows, with alternatives listed below as well.

The first extensive period of data collection for the CLASP II evaluation will probably be at the end of Year 01, given the time necessary for instrument development and for CLASP II participants to return home. The Tier 1 survey instrument should be administered to a significant number of returned participants (as well as any available long-term who were part of CLASP I) within 3-6 months of their return to their home countries. In the second year of CLASP II the survey instrument would not be administered at all (instead, greater efforts should be expended on both focused surveys and in-depth case studies). In the third year, the Tier 1 survey instrument would again be administered to a sample of all CLASP II returnees (both short-term participants and all available long-term individuals). There would be no survey instrument in the fourth year of CLASP II. But, again, at the start of Year 05, the survey instrument would be given to all participants within 3-6 months of their return.

This plan, we believe, achieves the following desiderata. It provides a regional data base that can be relatively easily manipulated for data analysis/reporting purposes. The data base is especially useful for large-scale data aggregations yielding descriptive summaries of important aspects of the training and its potential impact. The plan calls for channeling data from the survey back to the Missions as soon as possible, thereby enhancing program planning and quality monitoring. With three data points on each participating country, evidence of trends can be noted and, if desired, tracked. The plan is relatively cost effective since it dispenses with a large-scale data collection/analysis effort in two of the five years of CLASP II.

There are, of course, many possible alternatives to the administration plan we have just outlined. The survey, for

example, could be given in each year of CLASP II. It could be given to all participants in Years 01 and 05 and to one-third of the participating countries in each of Years 02, 03, and 04. It might also be given only to those groups identified each year for intensive surveys (Tier 2) or in depth qualitative study (Tier 3) and then aggregated to provide an indication of overall regional effects.

We believe, however, that cost factors, program monitoring requirements, and reporting demands indicate the first plan as most desirable.

Analysis of Survey Data The discussions which the CAPS Evaluation Needs Team had with Mission staff indicated that the latter have very definite and important, but also relatively limited, data analysis needs. All Missions expressed interest in knowing in a convenient, accessible, straightforward manner some of the "nuts and bolts" of their training operations and likely impact measures. For example, Missions need to know how many participants express satisfaction with the quality and quantity of their U.S. training. Likewise, they are interested in knowing what percentage of their participants have a different view of North Americans and the United States following their stay in the U.S. However, the Missions also expressed great interest in making comparisons among key groups of returnees. Thus, many wished to know of differences between short- and long-term participants, or between men and women, or, again, between rural and urban participants. Such cross-tabulations of data, while relatively simple and straightforward, would be of great use to local Missions in program planning.

Projected Level of Effort for Tier 1 Evaluation The assumption made here is that approximately 2000 CLASP II participants will be interviewed by a trained interviewer, in each of three of the five years of CLASP II Evaluation. These 2000 individuals will be dispersed over 12 LAC Countries and ROCAP, for an average of approximately 150 individuals per program. In actuality, however, some programs are far larger than others. We assume that some countries will have CLASP II yearly populations of 300-400 while others will be much smaller programs of approximately 100. We estimate that in the larger countries the survey can be administered to all trainees during a 4-week period using 10 local hires (experienced in survey research). Also needed would be two Senior Methodologists with experience in conducting multi-site multi-method evaluations. These individuals should be fluent in Spanish, have extensive experience in Latin America and hold a PhD or MA degree in Education or Evaluation. In addition, a full-time data manager to develop database storage and retrieval systems would be needed. They would serve as key personnel for the CLASP II outcome evaluation and coordinate all qualitative and quantitative out come data collection over the life of the

evaluation.

Part of the four weeks must be spent in interviewer training and piloting (supervised by the Senior Methodologist). The time of the methodologists will also be required as data analysis and reporting requirements demand. When possible, returnees will be interviewed when attending "alumni" reunions in their countries. When this is not possible, interviewers will need to journey to the returnees' towns and places of employment.

In the countries with small CLASP II populations we project a similar amount of data collection time since populations in these areas are more widely dispersed and harder to contact. However, only three local hires will be necessary to do the interviewing, led, again, by two U.S. or third country project directors and aided by a qualified local hire to help with data coding and entry. A methodologist/data analyst will also be required. When possible, returnees will be interviewed when attending "alumni" reunions in their countries. When this is not possible, interviewers will need to journey to the returnees' town and places of employment.

2. Tier 2 Evaluation Effort: Focused Surveys

Purpose Like the extensive Tier 1 survey evaluation, the Tier 2 outcome evaluation is also a series of questions to be individually administered to CLASP II returnees. While sample size and selection criteria will vary in our suggested plan (see below), relatively smaller sub-sets of returnees will be asked to respond to a focused survey instrument. The focused surveys are intended (1) to answer specific evaluation questions posed by several AID missions and (2) to provide a "deeper" meaning (at the local cultural level) for a given evaluation topic (and which has likely been "covered" at a less specific level by the Tier 1 survey instrument).

Contents of Tier 2 Surveys Based on discussions in the AID Missions of Belize, Costa Rica, El Salvador, Guatemala, and Honduras, the CAPS Evaluation Needs Team identified the four Tier 2 evaluation needs. These are: leadership; female returnees participation in Honduran society; male/female participation in CLASP training and outcome of training after return; and, Belize CAPS impact evaluation. The plan recommended here calls for the identification of further selected Tier 2 evaluation questions throughout the duration of CLASP II.

a. Leadership

Missions expressed an interest in knowing just what are the leadership skills in their countries and cultures and defined by the people themselves? Does "leadership" as defined locally

correspond to the North American definition of leadership? Are their qualities/positions of importance to which individuals aspire which are not glossed by the term "leadership"? Are there different skills and attitudes that define leaders in different cultural setting (e.g. barrio, factory, rural cooperative)? What are the constraints faced by CAPS returnees in entering into leadership roles? Can culturally sensitive data of this sort be used to sharpen a Mission's ability to identify potential leaders? Are Missions doing enough to enhance the leadership skills of their returnees?

The survey should be an in-depth, narrowly focused instrument probing for issues, beliefs, and values held by returnees on the topic of leadership. Typically in such instruments, questions are open-ended, but some fixed-choice questions are also included.

The survey should be given to relatively limited numbers of returnees from selected programmatic emphases of the participating country. For example, the study could take as a starting point for selecting a sample, the institutions identified in the SIFs being developed by each country as part of the CLASP II Project Paper exercises. Although it could be given in any year of the CLASP II project, its importance to the planning efforts of the Missions would seem to dictate its early implementation. An initial effort might be a focused survey in one country as a pilot study. This study would use funds in the AED CAEFTS contract and deal with CAPS Scholars. One administration would seem to be sufficient, as qualities of leadership are likely to be highly cultural in nature, and therefore quite stable over time.

The emphasis on an open-ended format requires a more qualitative analytic strategy. At issue, here, are cultural meaning systems and specific accounts by individuals of how they have enhanced or expressed their leadership skills. By the same token, however, Missions are also likely to be interested in simple statistical summaries of data, including answers to questions such as how many of their returnees aspire to positions of leadership, or what percentage of them feel they were helped in this regard as a function of their U.S.-based training.

One Ph.D.-level qualitative researcher and one Ph.D.-level survey designer would be needed for three weeks to interview local CLASP II participants (in each of the participating countries) about leadership, and design an appropriate survey instrument. Since the number of Missions participating in this Tier 2 evaluation question is not yet known it is difficult to estimate the level of effort required in the actual data collection phase. Certainly, two or three experienced, local hires will be needed to do the interviewing over a three-week period. Data analysis will require the services of an

experienced qualitative researcher for approximately two weeks per country. If Tier 2 interviewing is done simultaneously with Tier 1 data collection, cost and effort can be reduced since the time involved in locating participants will already have been expended.

b. Female Returnees Participation in Honduras Society after Training

The Tier 2 approach of focused surveying is also appropriate to respond to particular information needs of specific countries. The Honduras AID Mission, for example, identified a need to know, on a country-wide basis, whether, and in what ways, women who have received CAPS training use skills and knowledge gained during training. The Mission is interested in constraints, such as "machismo" as a cultural attitude, that may inhibit or limit female contributions to family, community, workplace or family life.

This evaluation effort would use a survey instrument with the female returnee to probe the experience of women during their training in the U.S. as related to skills, knowledge, experience America, gender make-up of the training activities (e.g. all female training group, female teachers) and the like, as well as the application of such experiences in different cultural settings on return to Honduras. The specific tasks required to carry out this activity would include:

Review of previous Mission documents and evaluation on the participation of Honduras women in society.

Review of Mission and Evaluation Contractor data bases and selection of a sample that cross-cuts CAPS trainee groups involving women.

Development of a survey instrument that reflects Mission information needs (probably open-ended).

Recruitment and training of local interviewers to administer the survey.

Coding and analysis of the survey data

Preparation of a final report

This study would require a specialist in qualitative research at the Ph.D. level for approximately four weeks and a survey specialist at the same level for two weeks of time. Between 3-5 local hires would also be needed for approximately three weeks to administer the survey. Because of the importance of the topic of Women in Development to AID, this study should take place early on, so that the results and instruments could be

disseminated to other Missions interested in evaluating this aspect of their CLASP program.

c. Male/Female Participation in CLASP Training and Impact in Country

All Missions also expressed a great deal of interest in the broader question of gender differences. This question was raised both in terms how men and women experienced their United States training and in their differential ability to make impacts in their countries upon their return. In particular, there was widespread interest in sorting out any cultural barriers to female participation in training, in follow-on activities, and in making family or community changes stemming from their U.S. training.

The survey should be an in-depth, focused instrument probing for issues, beliefs, and values held by returnees on the topic of men's and women's respective roles in the family, in the community, and in development. Because this topic is so little understood, the majority of questions should remain open-ended though some fixed-choice questions would also be included.

The survey should be given to relatively limited numbers of returnees from selected programmatic emphases of the participating country. Although it could be given in any year of the CLASP II project, the importance to CLASP II of women's involvement would seem to dictate its implementation during the second year. One administration would seem to be sufficient, as beliefs of this nature are likely to be highly culturally determined, and therefore quite stable over time.

The emphasis on an open-ended format allows for a more qualitative analytic strategy. At issue, here, are cultural belief systems about men's and women's roles in society and the social value of different kinds of work. Of particular interest is the identification of any constraints on women which prevent their full participation in the program, or in making their impact felt in their home countries. By the same token, however, Missions are also likely to be interested in simple statistical summaries of data including answers to questions such as how many of their female returnees participate in community change programs, or what percentage of them feel they were helped in this regard as a function of their U.S.-based training.

One Ph.D-level qualitative researcher and one Ph.D-level survey designer are needed for three weeks to interview local CLASP II participants (in participating countries) about men's and women's roles as change agents in their countries, and to design an appropriate survey instrument. Since the number of Missions participating in this Tier 2 evaluation question is not yet known it is difficult to estimate the level of effort

required in the actual data collection phase. Certainly, two or three experienced, local hires will be needed to do the interviewing over a three-week period. Data analysis will require the services of an experienced qualitative researcher over a four- to six-week period. If Tier 2 interviewing is done simultaneously with Tier 1 data collection, cost and effort for the former can be reduced since the time involved in locating participants will already have been expended.

d. Belize Impact Evaluation

This study would include basic information about returned scholars' employment history, evidence of being organizers or of showing personal initiative; residence patterns (e.g. do they stay in their communities or move into Belize City); evidence of civic mindedness and the like. It would also include process questions on selection, pre-departure orientation, the usefulness of the WIC experience for trainees and the appropriateness of the OIT programming agent for CAPS.

A team consisting of a training specialist, a qualitative research specialist and a survey specialist with 3-5 local hire interviewers could carry out the survey over a period in-country of approximately one month each. Specific tasks would include:

Analyze and assess the level of success of CAPS project implementation during FY 1985 - 1989 in relation to: recruitment, selection process; pre-departure; U.S. training and monitoring by the training contractor; "Experience America" component of U.S. training; and, follow-on program upon return.

Determine the level of success in achieving the following status: all scholars successfully complete training; all scholars employed in areas for which they received training. The team should determine what were the factors and/or characteristics that contributed to the successful results.

Determine unplanned effects for CAPS beneficiaries, their families and community on any and all changes that can be linked to the project. The team should also determine what characteristics of these scholars "caused" them to have these unplanned effects.

Determine the value of the following factors in terms of their contribution to fulfillment of the CAPS program objectives: short-term training versus long-term training; minimum duration of training required to respond to CAPS objectives; male versus

female scholars; place of residency (Belize City metropolitan area or from the interior of the country); socio-economic status (low, low/medium and medium); public versus private sector scholars; type of leadership qualities; impact and multiplier effect; and, area and level of study for long-term scholars.

3. Tier 3 Evaluation Effort: In-depth Case Studies or Specific Methodological Approaches

The third type of evaluation activities identified by the Missions are in-depth qualitative studies of particular individuals or training groups focusing on issues of special interest to the Mission. Interest in specialized assistance in refining or systematizing existing efforts to measure the effects of training when CAPS scholars have returned to their country of origin was also expressed by all the Central American Missions visited.

These needs are consistent with the Tier 3 activities proposed in the CLASP II evaluation plan and prototype instrument (see Appendix A). These activities were to use case history techniques, focus groups and other qualitative methods to examine particular questions of interest within groups targeted by the local AID Missions. The goal is to understand local cultural conditions and values in order to provide a context for understanding why change (in the form of application of new skills or the expression of different values) may or may not have occurred. In the same vein, assistance to the Missions in systematizing locally generated data or training in the collection, reduction and analysis of evaluation data can help to answer Mission questions as to program effects within a country.

This section summarizes the findings with regard to Tier 3 evaluation activities of interest to the AID Missions visited in Central America. It also suggests scopes of work for carrying out the activities, and the types of specialists that might be needed to undertake each activity. As with Tier 2 activities, it is assumed that some of the Tier 3 activities would be carried out by the key staff suggested under the Tier 1 discussion in this chapter to coordinate an outcome/effects component of the CLASP II evaluation. Other specialist positions would be filled by consultants on a job-by-job basis.

a. Methodological Assistance

Personnel at each of the Missions expressed interest in obtaining the services of an evaluation methodologist, experienced in both quantitative and qualitative data collection and analysis, to assist them in systematizing and computerizing their present post-training evaluation efforts. The concerns of

each Mission are as follows:

Guatemala. Review and revise data collection instruments and analysis already in place. A number of evaluation instruments already exist, including a questionnaire on attitudes toward the United States, another on aspects of the training process, and an "essay" instrument focusing on "leadership" and community involvement after return. The Mission would like a methodologist to help re-evaluate these data collection forms to produce a data base more sensitive to local Guatemalan information needs. They would like the specialist to render current data suitable for computer analysis and entry into the computer. Data sources which go back to 1985 should be examined for longitudinal trends and a further follow-up instrument devised. Additional analyses should be in the form of simple cross-tabulations including gender of program participant and ethnicity.

Honduras. Revise current data collection instruments and analyze initial data. Some evaluation data already exist including a questionnaire given upon re-entry to program participants. The Mission would like the assistance of an evaluation methodologist to analyze what data are available, and to carry out the analysis in a way that would directly feed into on-going Mission follow-on activities. Part of this effort would also involve training a local person in an appropriate computer program so that he/she can continue the manipulation of data and the generation of reports. In addition, the methodologist would help the Mission customize its evaluation plan.

Costa Rica. Systematizing/computerizing/analyzing evaluation data already collected. The Mission has collected questionnaire and group interview data from returned CAPS participants and would like technical help in systematizing these data and subjecting them to computer analysis. The focus should be on relatively straightforward evaluation questions such as looking at differences between rural and urban groups, male and female participants, long-term versus short-term programs, and programmatic emphases.

El Salvador. The Mission would like the assistance of an evaluation methodologist to provide guidance in systematizing and computerizing existing evaluation data. It would also like to have personnel in OET trained in the systematic collection and analysis of qualitative data through such techniques as focus group research.

Belize. Assistance in developing systematic data collection and analysis procedures for data collected as part of Mission evaluation and follow-on activities. The Mission is developing a returnee questionnaire and would

like help from an evaluation methodologist in systematizing data collection and subjecting data to computer analysis. As in other Missions, the focus will be differences among targeted groups such as males and females, rural and urban residents, and short-term or long-term participants as to the impressions of program effects.

The team feels that the methodological assistance requested by each Mission is an important near-term objective. By taking advantage of existing data and training Mission personnel in the systematic analysis and collection of information, a baseline of information and a set of procedures will be in place for comparing certain types or groups of trainees and for examining program effects over time. With the exception of El Salvador, which has requested training in the technique of focus group moderation and analysis, the scope of work for the methodological assistance in each country is similar and would be as follows:

Meet with USAID Training Office personnel and appropriate individuals from host country institutions participating in Peace Scholarship training (e.g. selection, English language training) to determine their information needs related to the effects of training once participants have returned home.

Review and assess the appropriateness of current instruments for determining the perceived effects of the CAPS training by individual participants once that they have returned to their country of origin.

Rewrite inappropriate items, if any, in order to obtain information identified as crucial to Mission objectives.

Develop codes for both forced choice and open-ended items that can be readily entered into a statistical data base.

Provide a statistical program that can be used to generate descriptive statistics from the instrument data.

Train appropriate Mission personnel in data entry and data analysis procedures.

Prepare a simple manual on data entry and data analysis techniques.

It is our estimate that two to three weeks would be needed at each Mission to carry out these tasks or a total of two and a half person months to provide the assistance to all Missions. Some economy in terms of travel costs could be gained by combining trips so that all Missions are served in two trips to

Central America. A specialist in questionnaire design, and the reduction and analysis of both quantitative and qualitative data, fluent in Spanish, with experience in Latin America, and preferably with a knowledge of training would be needed to carry out the work. Products would be a simple manual, of perhaps 10-20 pages, describing the data entry and analysis procedures and a trip report summarizing the work accomplished and listing possible next steps.

In addition to the two weeks required in each Mission for the work scope outlined above, the assistance in El Salvador would require an additional two to three weeks to recruit focus group participants and train Mission personnel in focus group moderation and data analysis techniques. This activity would require a specialist in focus group moderation who had worked extensively in this type of research in Latin America and who had trained individuals in the use of the research techniques.

The scope of work for this activity would include:

Meet with OET personnel to identify individuals or groups to participate in focus group interviews.

Together with appropriate OET personnel develop screeners for the selection of participants and focus group moderator's guide which lists the key areas or topics to be explored during the focus groups.

Recruit participants for the groups.

Conduct a demonstration focus group with one group of participants;

Prepare OET personnel in the procedures and techniques of focus group moderation.

Monitor the moderation of focus groups by OET personnel;

Train OET personnel in the preparation of top-line reports on each focus group and aggregate, cross-group reports.

b. Longitudinal Studies

Four of the five Missions visited identified longitudinal studies as an evaluation need. The information needs and populations identified, however, differed for each country. Guatemala requested follow-up studies of selected groups of returned participants. The Mission suggested that some data had been collected as early as 1985 and that these data could be used as a basis to examine whether the effects of training for certain groups (e.g. rural health promoters, entrepreneurs, indigenous

women) increased or became diluted over time.

Honduras presented the question in terms of a frustration period for returnees who had difficulty obtaining employment. The Mission would like to know the consequences (personal, social, and economic) for long-term participants who are unable to find work upon return to Honduras.

Costa Rica is interested in knowing the employment behaviors and future careers of selected CAPS participant groups. The study would track cohorts of trainees over time to acquire basic information about employment history, residence patterns, and involvement in civic affairs. One particularly important question was what happens to the high school participants once they enter the university and subsequently when they finish their university educations. The question of the lasting economic effect of short-term versus long-term training was also raised.

The **El Salvador** Mission wanted to identify the cultural and economic constraints that returnees face over time in applying their CAPS training and what factors aid in increasing or decreasing the effects of training? The Mission was especially concerned about long-term participants in this context.

Given the complexity of the questions related to the long-term effects of CAPS training at each Mission, a case study approach with a relatively small sample of returned participants which included long-term returned trainees from the CAPS I program as well as CLASP II participants is appropriate. The sample should reflect those sectors targeted for attention under CLASP II so that the data can feed back into refinements of the ongoing program. This sample would be interviewed during Year 01 of the evaluation, at a point approximately 18 months later in Year 03 and for a third time 18 months subsequently, near the end of the CLASP II evaluation.

As with the other intensive qualitative data gathering activities that comprise Tier 3, if regional interest were expressed or if LAC became interested in examining the lasting effects of training on returned participants less in depth but with a larger sample, the study could become a Tier 2 evaluation activity. In this case, the original intensive case studies would continue to be part of the overall sample to serve as a baseline and the Tier 2 questions would be derived from the case study data.

In each country, such a longitudinal study would require two Ph.D. or M.A. level social scientists familiar with case study methodology. They would be fluent in Spanish and knowledgeable about the country and AID training programs. Approximately a month of time for each evaluator would be needed to locate returned trainees, develop the case study instruments in conjunction with the local Mission, conduct the interview,

analyze the results and write a report on the findings.

c. Institutional Impact

Several of the Missions expressed interest in assessments of the effects of a relatively large number of returnees within a given institution or organization. Costa Rica identified four trainee programs for in-depth studies to assess worksite or community impact. These were firefighters, rural leaders who establish communal banks, Ministry of Education personnel, and English teachers. El Salvador wanted studies of coaches and community development promoters because of the geographic spread of these groups throughout the country. Belize suggested secondary school principals, primary school principals and youth leaders as groups with a large number of returnees who were likely to have made an impact within their respective institutions or communities.

These studies would all be conducted as case studies of selected communities or institutions. The studies would combine topical interviews with returnees and interviews with colleagues, employers, supervisors, community leaders and other community members with observations in the work place to construct a case of evidence for the effects of the program. In the case of a single institution, such as the Ministry of Education, the evaluation would be designed as an organizational change study. It would examine the aspects of the institution that facilitated or impeded changes and how these influenced the experience of the returned participants within a given cultural context. The evaluators would carry out the following activities.

Review documents related to the organizational history and structure of the institution.

Develop topical interview guides and observational checklists related to administrative and functional areas of the organization in which CAPS returned scholars are found. (e.g. administration and finance, record keeping and management information system, staffing, procurement and logistics, training and staff development.

Interview key personnel (CAPS scholars, employers, colleagues and co-workers, subordinates).

Trace procedural changes through existing records and other "paper trail" materials, where appropriate.

Observe activities and information flow within the organization as it relates to the participation of CAPS scholars.

Conduct site visits to regional facilities (schools,

centers, offices) to examine operating procedures and role of former CAPS participants.

Prepare a final report that addresses the effect of returned participants within the organization, constraints to and opportunities for additional impact within the organizational culture, and the role follow-on might play in increasing impact.

Each country requesting this type of evaluation would need a team consisting of an ethnographer who was experienced in the use of case study methodology and a specialist in organizational culture. Both of whom should have an understanding of the Peace Scholarship program and be fluent in the language of the country in which the study was to take place. Approximately one month of each specialist's time would be needed to complete a study of each organization or institution. This type of study would be done once within a given organization during the five-year evaluation period.

d. Special Studies of Program Outcomes

Each of the Central American Missions visited also suggested studies of program effects that were particular to that Mission. All of these evaluation efforts are in-depth Tier 3 qualitative studies. Most, however, have implications for other Missions, for a sub-region, or for the region as a whole.

Belize, for example, is interested in an evaluation of the appropriateness of the Experience America activities provided by training institutions for Belizean students given their language familiarity with the U.S. and the wide use and dissemination of American television programs in Belize. This study would require a Ph.D-level specialist in qualitative methodology with a knowledge of Belizean culture. This individual would work with the Mission over approximately a two-month period to identify a sample of returned scholars and conduct interviews with them as to their training experiences. To the extent that similar questions exist in the English-speaking Caribbean CLASP II countries, this study may have sub-regional implications.

An additional evaluation need identified by staff at the Costa Rican Mission was an in-depth look at whether individuals selected for U.S. training and their families respond with additional strategies (e.g., by borrowing money from relatives to take the spouse and/or children along to the United States as well) to maximize the training or opportunity benefits. A further concern is what the long-term repercussions of such strategies may be. Do they, for example, negatively impact the families by creating a condition of long-term indebtedness; or, do they act positively by creating an increased economic opportunity for other family members as a result of their

experiences in the United States?

The issue of family adaptations and strategizing is a complex one calling for an ethnographic examination at family patterns, role and authority relationships in the family, work routines, decision-making, and economic conditions confronting Costa Rican families. To study such issues requires a maximum amount of open-ended interview time and some at-home observations to build rapport with families and produce the fine-grained, culturally sensitive data necessary to understand the intricacies of family life and values.

We recommend that Ph.D.-level, Spanish-speaking, qualitative researcher (preferably an anthropologist) make contact with a limited number of families (approximately 10) who have chosen different strategies to cope with the scholarship offer to one family member to go to the U.S. for training. Thus, a few families who have elected to send additional family members to the U.S. would be studied, as well as a few families who have elected to let only the selected spouse go. These ten families would be intensively interviewed and observed prior to departure (one week per family), immediately upon return, six months after their return, and then a final time after an additional 18 months to gauge the long-term consequences to their families of the particular courses of action chosen. This Tier 3 evaluation effort should be begun in the second or third year of CLASP II to allow time for the follow-up monitoring.

An additional evaluation goal specified by personnel at the Honduras Mission calling for an in-depth approach is the study of individuals who applied to the program, but were not accepted. For every twenty applicants only one person is selected for U.S. training. Some of those rejected for inclusion are thought to have spread negative information about the program which, according to Mission staff, may be doing the program harm. The Honduras Mission would like to know more of what happens to individuals whom they do not accept for training. In particular, they would like to compare those that they accept with those who are not accepted in terms of attitudes toward the U.S. training, later career advancement, and subsequent contributions to their families, communities, and country.

Many of the individuals rejected for inclusion are similar in most dimensions to those who were ultimately accepted. As such, the Honduran situation provides an opportunity for a natural "experiment" using a (partially) matched "control" group to study and compare the attitudes and careers of those with and without the U.S. training. The study would call for in-depth interviews with a relatively small sample of trainees and their matched counterparts (20 - 30 in each group). Matching would be done by age, gender, education level, occupational status, and additional variables deemed important by Mission staff and the

outside evaluators. The interviews themselves would focus on attitudes toward North Americans and the United States, evidence of leadership, career advancement/enhanced job responsibilities/salary increases, contributions and changes to their own lives and the lives of other family members, community involvement, knowledge and expression of democratic values, as well as evidence of personal initiative, individual responsibility and the like.

We estimate that two to three weeks will be necessary to develop and pilot test the interview instrument. We further estimate that the actual interviews would take approximately two to three hours each, thus requiring a maximum of 180 hours of data collection time. However, individuals who were not part of the CLASP training will be harder to find, and many may not wish to participate in the study. Thus additional time will be needed to find the non-participants or to find substitutes for those who do not wish to participate. We estimate the total data collection effort to take eight weeks. Well trained experienced local hires will do the interviewing though they would be trained and monitored by a North American or third country national who would direct the study. This individual should be a Ph.D. - level specialist in qualitative research procedures.

Guatemala would like two studies. One would be an assessment of the political participation of returned CAPS scholars. Questions would include: What forms do local political participation of returned CAPS scholars take? (e.g., joining a political party, voting in elections) and Does political participation change as a function of having been a CAPS trainee? The second study is an investigation of the economic impact of the CAPS program and would include developing economic and social indicators of impact. The key question would be how to measure and aggregate the kinds of social and economic impacts that individual CAPS returnees have in their families, their communities, their worksites, and/or their professions. Each of these studies would require approximately two months for an experienced methodologist, working with a limited sample to complete on a pilot level.

Finally, in addition to the process questions asked by all Missions about the quality and appropriateness of training in the U.S., several Missions asked for specific studies that might best be included in the process component of the CLASP II evaluation. El Salvador would like an evaluation of the effects of the trainees on their host communities in the United States. What are the attitudes of their sponsors and host families toward them and the CAPS program? In what types of activities have they been involved and what has been the impact of this involvement?

Costa Rica would like an assessment of its in-country English language training. The Mission wants to know what are

the benefits/costs derived by keeping trainees in Costa Rica for their English language training as opposed to developing limited English language capability then sending them to the U.S. to further their language abilities during the CAPS experience. It also would like to know if there is a necessary minimum TOEFL score that would help to maximize the U.S. training experience.

Each of these evaluation activities, as well as an examination of the usefulness of the two weeks of survival English training given to short-term trainees in Costa Rica and about to be started in El Salvador, can be done through intensive case studies with small samples of returnees. As they would feed back immediately into program refinements and could be examined during the training experience they can form part of the process evaluation component.

IV. CONCLUSIONS AND RECOMMENDATIONS

This chapter presents the conclusions and recommendations of the team with regard to the principal objectives of the study. These were: to develop prototype measures for assessing outcomes of the Caribbean and Latin American Scholarships for Peace (CLASP) program; to work with Mission personnel in Central America to identify local, culturally-specific questions or evaluation issues related to outcomes of CLASP and to develop methodological approaches that would meet these evaluation needs; and to present an evaluation plan that allows for the refinement of outcome measures and approaches in order to form a base of information that can be taken advantage of in an evaluation of CLASP II. Consistent with these objectives, we have organized the recommendations into: general recommendations for all outcome evaluation activities of the CLASP program; recommendations for near-term evaluation activities that might be carried out with funds remaining for CAPS evaluation in the Academy for Educational Development's CAEFTS contract; and long-term outcome evaluation activities which we assume would be carried out over a five-year period in conjunction with CLASP II.

A. Conclusions

Discussions with the five Central American USAID Missions showed that the approach to outcome evaluation of involving the users of evaluation findings as colleagues in the evaluation efforts and developing a flexible, multi-method evaluation plan was viable. Missions were especially interested in quick-turn-around qualitative studies of particular groups or focused on questions of special interest.

The information needs identified by Mission personnel on the effects of CAPS training were consistent with the general areas defined in the prototype instrument. These were: leadership, employment enhancement or advancement, the transfer of skills and knowledge acquired in the United States to the home environment, and follow-on in terms of further contact with individuals in the U.S., with fellow trainees, or with continued training. Mission personnel also identified a number of specific issues of relevance within the culture or cultures of each country. Owing to the limited time the team spent in each country, however, specific items to be included in data collection instruments were

not identified.

Mission staff also saw the tracking of program compliance done under the CLASP I evaluation contract as extremely useful. They further identified data on the quality of different training programs and Experience America activities as important information needs.

All Missions were in favor of receiving technical assistance from evaluation specialists in planning evaluation activities for CLASP II as was suggested by the Stanford workshop. Similarly, they are interested in technical assistance in the use of outcome data on returned participants that they have collected, but either because of time constraints or lack of expertise in evaluation methodology, have been unable to organize these data systematically for computerized, aggregate analysis. Thus, technical assistance is required both in planning outcome evaluation activities and in data reduction and analysis of existing information.

Each of the Missions visited has a variety of information needs related to specific groups or concerns of their CAPS program or country. Many of these will have wider implications and may be used to develop more encompassing evaluation approaches where the questions are found to be shared by a number of Missions. Thus, the findings of the evaluation activities should be disseminated.

The types of evaluation needs identified by the Missions were consistent with the three-level evaluation approach developed by the team. In addition to the regional data collection based on a standard instrument to be used by AID/W for reporting purposes, each Mission also identified information needs that could be met through focused surveys and those which required intensive qualitative data collection.

Most of the focused surveys or Tier 2 evaluation studies will require a greater level of effort and length of time to complete than the Tier 3 or intensive qualitative studies. Thus, such studies cannot be carried out in the near-term except, perhaps, on a one-country pilot basis. Tier 3 evaluation efforts will generally require less time for instrument development, training personnel, and data analysis. Several, however, have longitudinal components that require a long-term approach. A number of both the Tier 2 and Tier 3 evaluation can have sub-regional or regional relevance.

B. Recommendations

General Recommendations. As the evaluation needs of the

Missions include the tracking of CLASP policy compliance, cross-national survey data on program outcome, and quick-turn-around data on local cultural issues related to outcomes, the process and outcome evaluations of CLASP should be integrated to the extent possible. Thus, there should be systematic sharing of information that results from studies of outcomes of CAPS, carried out under the AED CAEFTS contract, with the process evaluator for CLASP I. We also recommend that the CLASP II evaluation include both a process and outcome component. The multiple approaches will require the evaluator to have expertise in data base management systems, multi-method qualitative evaluation design, and large-scale survey research design.

Systematic monitoring of U.S. training and training experiences should be part of the process component of the CLASP II evaluation as the quality of these experiences is a priority concern for Mission personnel.

Technical assistance in collecting, reducing and analyzing existing outcome data should be built into CLASP outcome evaluation activities as should planning future evaluation activities.

Both AED and the CLASP II evaluation contractor should include in the design of their evaluation activities a plan for dissemination of the results. This may be through copies of the studies being forwarded to other Missions, workshops on the results, or a newsletter/periodic communication format such as that presently used by Aguirre International.

We recommend that the focused surveys (Tier 2) and in-depth qualitative evaluation studies (Tier 3) be organized into near-term and long-term efforts. Near-term evaluation activities would be those to be funded under the monies remaining in the Academy for Educational Development's CAEFTS project for CAPS evaluation activities and will take place in FY 1990. Long-term activities would be included in an outcome evaluation component of the CLASP II evaluation contract and would be funded either through a central base contract or by Mission buy-ins.

Near-term Recommendations. The near-term evaluation activities should be prioritized for funding based on their potential for forming a base of information on which the CLASP II evaluation can build and on their potential relevance throughout the region or a sub-region. Our recommendations for near-term activities are as follows:

1. Methodological assistance to all Missions to systemize and computerize existing instrumentation and data. These activities would provide a complementary data base to that of the returnee questionnaires administered once per country by Aguirre International, the process evaluator for CLASP I. They would

allow each country to aggregate data for ethnic, gender and age comparisons and would serve as a starting point for longitudinal studies. The level of effort would be 12 to 15 weeks of a senior evaluation methodologist's time to visit all of the five Missions in question.

2. An in-depth case study of the appropriateness of the Experience America activities provided by training institutions for Belizean students given their language and familiarity with the U.S. and the wide use and dissemination of American television programs in Belize. This would be carried out through interviews with returned participants and would require two months of effort by a qualitative methodologist. This activity is given high priority because of its relevance to the English-speaking Caribbean.

3. A focused survey on the participation of returned female CAPS trainees in Honduran society. Again, this study which would deal with levels of participation and cultural constraints, is of priority because of its wider implications given the emphasis of USAID on women in development. This study would require a total of approximately three person-months of effort by a qualitative evaluation specialist and a survey specialist.

4. Several Missions identified analyses of the impact of a number of returnees within a single institution as an important evaluation need. Given the wide-spread interest in such an institutional analysis, it should be undertaken in one institution such as the Ministry of Education in Costa Rica where a relatively large number of returned scholars are working. A study of this type would require approximately a month of work from each a qualitative methodologist and specialist in organizational analysis.

5. The impact evaluation for CAPS I, requested by the Belize Mission is also a priority. This study, which would involve a total of three person-months of effort from a three-person team, could be used to pilot items developed in the prototype Tier 1 instrument.

Long-term Recommendations. We recommend that the other evaluation studies detailed in the findings section of this report be carried out as appropriate under an outcome component of the CLASP II evaluation. We have supplied illustrative time periods and years for these studies in our discussion in that chapter. Recommendations for long-term activities are as follows:

Time for formation of a regional item bank through interaction with Mission and USAID/W personnel should be built into the evaluation activities for CLASP II. This should be part of a general instrument development activity taking place during

the first year of CLASP II. The instrument developed should be used to measure the effects of the program in the second year and in subsequent years, as appropriate. CLASP I long-term returnees should be included in the survey sample.

An assessment of Mission evaluation needs, similar to that reported in this document, should be carried out in the other CLASP II countries as a first-year CLASP II evaluation activity. If the importance of methodological assistance found in Central America is confirmed for other Missions through this assessment, an evaluation methodologist should be supplied, where requested, to help systematize outcome data collection efforts.

Technical assistance in planning evaluation activities should be provided each year by the CLASP II evaluation contractor. This assistance could take place as part of the training plan update exercise engaged in by the Missions each year, and would incorporate appropriate methodologies for dealing with new information needs.

Together with the development of the regional survey instrument in the first year of the CLASP II evaluation, we recommend that focused surveys and in-depth qualitative studies of special interest be started. The priorities, at least for Central America, should be focused surveys of local definitions of leadership and constraints to assuming leadership roles in the different cultural contexts of individual countries. In-depth activities would be case studies with a small sample of returnees to be studied longitudinally. Other studies would be designed and scheduled on the basis of the needs assessment conducted during year one of the evaluation.

We recommend three positions as necessary key staff to carry out the outcome evaluation component of the CLASP II evaluation. They are: a qualitative evaluation specialist with experience in conducting multi-site multi-method evaluations; a survey research specialist; and a data manager experienced in the storage and retrieval of qualitative and quantitative data sets. They would be complemented by consultants and host country data collectors, as needed.

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APPENDIX A

PROTOTYPE INSTRUMENT AND EVALUATION PLAN

CLASP II RETURNEE EVALUATION PLAN

R. CHESTERFIELD AND H. LEVINE

JULY 18, 1989

--DRAFT ONLY--

EVALUATION PLAN: OVERVIEW

The following document outlines the first two "tiers" of our three-tiered approach to the impact evaluation of the CLASP II project. Tier 1 represents a series of question to be asked, in person, of all (or a strategic sample of) CLASP II returnees approximately six months from the date of their arrival in their home countries. These questions are intended to provide both the Congress and AID/W with relatively straightforward answers to basic questions about what has happened to CLASP II participants subsequent to their return to their home countries, and what aspects of their experiences (both work-related and community-based) in the United States they regard as important to their behavior at home.

With a few proposed exceptions, the questioning strategy is intended to capture the returnees' points of view. The questioning has also been limited to cover five major topics of concern. These include: country; the advancement/enhancement (or their opposites) of the returnees upon return; qualities of leadership valued by CLASP II participants and the role of their training in furthering these qualities in themselves; follow-on contacts with AID Mission staff or other returnees and any outcomes of these contacts; and evidence of a training/Experience America multiplier effect. The topics themselves are derived from published AID/W concerns about the effects of United States-based training, and our own "content analysis" of case study interviews conducted earlier this year with 31 CAPS returnees (including, for each, any employer/supervisor and "support giver"/community leader) by R. Chesterfield and his colleagues.

Like the Tier 1 evaluation data, the Tier 2 impact/effects data are also a series of questions to be individually administered to CLASP II returnees. While sample size and selection criteria are yet to be determined, it is likely that only relatively smaller sub-sets of returnees will also be asked Tier 2 questions. These questions are meant (1) to answer specific evaluation questions posed by local AID missions and (2) to provide a "deeper" meaning (at the local cultural level) for

the answers collected to the Tier 1 questions. Thus, while Tier 1 questions will be asked of all, or a large sample of returnees, Tier 2 questions will be asked of smaller numbers of participants; and some questions may be altered to reflect local Mission interests or cultural conditions. Whenever Tier 1 and Tier 2 questions are appropriate for the same returnee, they will be asked during a single data collection interview. We expect the combined Tier 1/Tier 2 interview to take approximately one hour. This strategy and a sample of possible interview questions for each Tier will be discussed with the Missions during the team's August/September visits to Central America.

Tier 1 and 2 evaluation efforts are meant to be relatively cost efficient and of short duration with data to be aggregated at the program, country, and cross-national levels as necessary. The Tier 3 impact evaluation, to be held concurrently with the Tier 1/2 efforts, employs a different set of methods. Case history techniques and other qualitative methods will be used, as appropriate, to examine, in depth, particular programs targeted for review by local AID Missions. The goal will be to understand local cultural conditions and values to provide a context within which change (in the form of returnees and their new skills and any recently altered values) may or may not occur. The Tier 3 evaluation, with its different set of methods and somewhat different set of objectives, will not be further discussed here.

For the purposes of this document, we have made the somewhat arbitrary distinction between process and impact (or outcome) evaluation with our sole concern being the latter. In actuality, of course, there will be some overlap between the two in the kinds of questions asked of returnees. We also wish to be clear that our key objective is describing the experiences of returnees as they readjust to life in their home countries. We regard as unproductive any effort to independently assess aspects of their American experience to tie these, in a linear way, to specific outcomes. We are however, interested in how the returnee regards his or her experience and its consequences for their lives.

After presenting brief recommendations for the format of the questionnaire, we discuss each of the five major interview topics including objectives, sample analytic goals, and sample questions. This document is to serve as a starting point for discussion in the workshop to be held at Stanford University on July 27 and 28, 1989.

FORMAT OF QUESTIONNAIRE

Questions used in the evaluation interview will be in a variety of formats (including open-ended but focused questions, optional choice questions, forced choice questions, and self-ratings). In addition, we are also suggesting interviewer rating and coding of some of the informant responses (see below for examples) to provide further quantitative measures of informant

experiences. These ratings and codings will be undertaken by the interviewer immediately after the interview session. Coding and rating reliabilities will be established in advance.

Some questions sets will need further operationalization. For example, we shall have to decide on the criteria to be used in designating an informant's response as reflecting the experience of seeing "volunteerism" or "personal initiative" while in the United States, or of applying these tenets of American life to their own countries (Question I.A.1. and I.A.2. below). We assume that this criteria will come largely from AID documents on the outcomes of Experience America.

Time and resources available, corroborating questions should be asked of the respondent's employer/supervisor and/or a support giver/community leader. Separate interview protocols would be developed for this purpose.

Both Tier 1 and Tier 2 questions can be analyzed quantitatively and, on demand and where appropriate, qualitatively as well.

OBJECTIVES, ANALYTIC STRATEGIES, AND SAMPLE OF TOPIC AREAS FOR CLASP II IMPACT INTERVIEW

I. Experiences and Training in the U.S. and Their Transfer to the Home.

Country (Tier 1 Objectives: Experiences of American life and their likely transfer to home country settings; specific training skills learned and their likely transfer to home country settings; specific training skills learned and their likely implementation at the local workplace. Tier 2 Objectives: Understanding how cultural barriers prevent or retard change agents' best efforts and how certain cultural conditions inhibit the applicability of new ideas. Examples of Tier 1 data analysis questions: Percentages of respondents who experienced "individual responsibility" while in the United States; percentages of those who tried to apply them to their home countries; and percentages who felt they had succeeded in the effort (with examples). Example of Tier 2 data analysis questions: Percentage of returnees who attempted to apply skills learned in the United States but were stymied because of specific cultural conditions (e.g. resistance to new ideas by fellow workers). Examples of Tier 1 and Tier 2 questions: See Below.)

(Tier 1) A. Life in the U.S.

1. What did you see about life in the U.S. that you liked?

(Prompt: Am. Family life, Cities, Rural)

2. What did you see about life in the U.S. that you disliked?

Interviewer Coding

Interviewer codes returnee responses for the presence of the following basic tenets/values of the U.S. as determined by AID training guidelines:

Individual Responsibility - (AID operational Definitions)

Volunteerism - "

Personal Initiative - "

Democracy -"

Etc. "

(Tier 2) B. Which of the observations you made about life in the U.S. might be applicable to your home country?

(Tier 1) C. Which of the lessons you observed or ideas you learned in the U.S. have you tried to implement in your home country?

(Tier 1) D. Have you had any successes? If so, what?

Interviewer Coding

Interviewer corroborates what returnee has said with evidence from the returnee's community support person.

		Returnee Says	
		Yes	No
Support person says	Yes		
	No		

(Tier 2) E. Have you met with any of the following obstacles in trying to make changes in your community?

- 1. Lack of economic opportunity? _____
- 2. Resistance to new ideas by neighbors? _____
- 3. Local outlook incompatible with proposed new direction? _____
- 4. Other _____

(Tier 1) F. What skills did you master in your U.S. training?

(Tier 2) G. Which of these training skills are applicable to your current job setting?

(Tier 1) H. Which programs, skills, or new ideas have you tried to implement at your workplace?

(Tier 1) I. Have you had any successes? If so, what?

-42'

Interviewer Coding

Interviewer corroborates what returnee has said with evidence from the returnee's supervisor.

Interviewer Coding

Interviewer corroborates what returnee has said with evidence from the returnee's community support person.

		Returnee Says	
		Yes	No
Supervisor says	Yes		
	No		

(Tier 2) J. Have you met any of the following obstacles in trying to implement any of your new ideas or programs at your workplace?

1. Co-worker mistrust or resistance? _____
2. Lack of suitable resources? _____
3. Lack of supervisory authority? _____
4. Incompatible with current way of doing things? _____
5. Other? _____

II. Advancement/enhancement of Position of Returnee

(Tier 1 Objectives: Simple accounting of work-related experiences of returnees and their own estimate of whether their United States training was helpful. Tier 2 Objectives: Barriers returnees face to advancement. Examples of Tier 1 data analysis questions: How many participants were promoted or given more responsibility upon return to their home countries; how many of those attribute this "success" to their United States training experiences? Example of Tier 2 data analysis question: What percentage of returnees who have not been promoted or given increased responsibilities face economic conditions of limited opportunity?)

(Tier I) A. When you returned to your country were you:

1. Given increased work responsibilities? _____
2. Given fewer work responsibilities? _____
3. Given a promotion? _____
4. Given a demotion? _____
5. Accorded more status because of living abroad? _____
6. Accorded less status because of living abroad? _____
7. Given more status because being selected for the CAPS program? _____
8. Given less status because of being selected for the CAPS program? _____
9. Accorded more prestige because of an increased knowledge of English? _____
10. Accorded less prestige because of an increased knowledge of English? _____
11. Forced to take a lower-paying job more related to your training? _____
12. Able to take a higher-paying job in another job sector more related to your training? _____
13. Other? Please explain _____

(Tier I) B. Which of the above circumstances are likely to be attributable to your CAPS experience?

1. - 13 (From IIA)

(Tier 2) C. Personal advancement is difficult in my country because:

1. There is so little economic opportunity _____

2. My fellow workers are mistrustful of people who have been to the U.S. _____

3. There is simply no place to apply what I have learned. _____

4. Advancing may cause resentment of me by others. _____

5. There are no resources to make what I have learned applicable. _____

6. Other. Please explain. _____

III. Leadership

(Tier 1 Objectives: How is "leadership" defined by the returnees and are the qualities which comprise leadership ones which the returnees value for themselves? Tier 2 Objectives: Does the culture recognize other forms of "important persons", are the qualities which comprise such individuals different from "leaders", and do the returnees aspire to these roles rather than roles of "leadership"? Examples of Tier 1 data analysis questions: Do individuals who aspire to positions of leadership believe that their United States' experiences prepared them for leadership; and, if so, what special qualities of leadership were fostered? Example of Tier 2 data analysis question: What percentage of those returnees who don't wish to be "leaders" work toward being other kinds of persons of importance? Examples of Tier 1 and Tier 2 questions: see below.)

(Tier I) A. Qualities of leadership

1. Many former returnees have listed of the following qualities as representative of un
lider. Which of these are most salient for you?

a. "Simpatia"

- b. Clear vision _____
- c. "Servicio" _____
- d. Humility _____
- e. Brings resources into community _____
- f. Etc. _____

- (Tier 1) 2. Are there other qualities of an llder which are also salient for you?
- a.
 - b.
 - c.

(Tier 1) B. Leadership qualities of the returnee

1. Which of the above qualities that you feel are salient do you yourself feel you possess or wish to have?
- a. "Simpatia" _____
 - b. Clear vision _____
 - c. "Servicio" _____
 - d. Humility _____
 - e. Brings resources into community _____
 - f. Etc. _____

- (Tier 1) 2. Which, if any of the qualities of a llder that you listed above as having yourself (or wishing to have) do you feel were enhanced by the CAPS experience?
- a. "Simpatia" _____
 - b. Clear vision _____
 - c. "Servicio" _____
 - d. Humility _____
 - e. Brings resources into community _____

(Tier 2) C. Persons of importance (other than the lider)

1. Are there other important people in your community besides a lider?
2. Are there other important people in your workplace besides a lider?
3. If so, what qualities do these people possess?
4. Which of these qualities do you feel that you possess?
5. Which of these qualities do you feel were enhanced by the CAPS experience?
6. Is it more important to you to work toward being a lider or a _____?

IV. Follow-On

(Tier 1 Objectives: Contacts with others in the United States or fellow returnees as a measure of program effectiveness and identification with the United States. Tier 2 Objectives: What is the cultural experience, especially in terms of "obstacles," of identifying with, or furthering contact with, the United States? Examples of Tier 1 data analysis questions: What percentage of returnees attempted to continue contacts with the United States and to what degree were they helped in doing this by the local AID Mission? Example of Tier 2 data analysis question: For those who would have liked to maintain their United States ties, what specific barriers existed to make this difficult? Examples of Tier 1 and Tier 2 questions: see below.)

(Tier 1) A. When you returned to your country, were you:

1. Contacted by AID Mission Staff? _____
2. Contacted by other returnees? _____

(Tier 1) B. What happened as a result of the contact?

(Tier 1) C. When you returned to your country, did you try to:

1. Contact AID Mission staff? _____

2. Contact other returnees? _____
- (Tier 1) D. Were you successful? _____
- (Tier 1) E. If so, what happened as a result of the contact? _____
- (Tier 1) F. What kinds of contacts did you have with the U.S. following your training?
1. Subscription to a journal
 2. Book order
 3. Telephone calls or letters with host family
 4. Further travel to the U.S.
 5. Visits by Americans to you
 6. Correspondence course(s)
 7. Correspondence with professors or other trainers
 8. Membership in a professional association headquartered in the U.S.
- (Tier 2) G. What obstacles, if any, existed which limited your further contact with the U.S.

V. Multiplier Effect

(Tier 1 Objectives: As a measure of program success/effectiveness, estimate how often (and in what ways) returnees have been able to promote or re-create portions of their training with others in their home countries. Tier 2 Objectives: None. Examples of Tier 1 data analysis questions: How many returnees attempted to extend their knowledge or skills learned to others in their workplace or community? What are some common examples of the way this was done? Examples of Tier 1 questions: see below.)

- (Tier 1) A. Have you consciously tried to pass on anything you have learned from the CAPS program? What?
- (Tier 1) B. How successful would you say your effort has been?

After the interview the interviewer will rate the returnee's comments along two dimensions as follows:

Probable evidence of a multiplier effect:

Low High
1 ----- 2 ----- 3 ----- 4 ----- 5

Probable efficacy of any multiplier effect:

Low High
1 ----- 2 ----- 3 ----- 4 ----- 5

APPENDIX B

SUMMARIES OF MISSION EVALUATION NEEDS

AND

MISSION ADDENDA

BELIZE

CAPS EVALUATION OBJECTIVES

SEPTEMBER 28, 1989

--PREPARED BY CAPS EVALUATION NEEDS TEAM--

This report represents the first effort to summarize the main points of our discussions in Belize City on September 19, 1989, regarding your evaluation goals. We encourage you to revise and expand upon this report as necessary.

Our sense of the meetings is that there are least five different areas of need where additional evaluation efforts might be profitably used in the coming year and as part of CLASP II. They are as follows.

1. Assistance in developing systematic data collection and analysis procedures for data collected as part of Mission evaluation and follow-on activities. You would like technical help from an evaluation methodologist in systematizing data collection and subjecting it to computer analysis. The focus should be on relatively straightforward evaluation questions such as looking at differences between rural and urban groups, male and female participants, long-term versus short-term programs, and programmatic emphases.
2. A study of the appropriateness of the Experience America activities provided by training institutions for Belizean students given their language and familiarity with the U.S.
3. An impact evaluation of CAPS. This study would include basic information about returned scholars: employment history; evidence of being organizers or of showing personal initiative; residence patterns (e.g., do they stay in their communities or move into the City); evidence of civic mindedness; etc. It would also include questions on the usefulness of the WIC experience for trainees and the appropriateness of the OIT programming agent for CAPS.

4. **Leadership.** You discussed the possibility of deriving culturally sensitive measures of "leadership" as a way of helping in the recruitment and selection of potential leaders for the CAPS training programs. Also of interest in this study would be what types of training would be most useful to leaders or potential leaders in the Belizean economic and cultural reality.

5. **In-depth follow-on studies of selected trainee programs to assess institutional, worksite and community impacts.** Three groups suggested for such in-depth case studies include secondary school principals, primary school principles, and youth leaders.

Items #1, #2, and #3 could be a useful and feasible evaluation goal for the last year of the CAPS project and, at LAC's discretion, might be funded through the monies for CAPS evaluation activities in the Academy for Educational Development's CAEFTS contract. Items #4 and #5 might undertaken in the coming year as well and could be carried through into CLASP II, either through Mission buy-ins or as part of the CLASP II Evaluation base contract.

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AGENCY FOR INTERNATIONAL DEVELOPMENT
UNITED STATES A. I. D. MISSION TO BELIZE
EMBASSY OF THE UNITED STATES OF AMERICA
BELIZE CITY, BELIZE, CENTRAL AMERICA

October 4, 1989

Mr. Ray Chesterfield
Juarez and Associates Inc.
2800 Shirlington Road
Arlington, Virginia 22206

Dear Mr. Chesterfield:

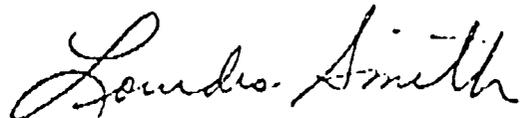
This is in response to your telefax of September 28 which we received yesterday afternoon.

We have two comments on the Belize CAPS Evaluation Needs Assessment.

1. We suggest that item #2 in the report be modified to read "A study of the appropriateness of the Experience America activities provided by training institutions for Belizean students given their language and familiarity with the U.S. and the wide use and dissemination of American television programs in Belize."
2. Regarding your last paragraph, we would prefer that items #4 and #5 be carried out as part of the CLASP II Evaluation base contract.

The delay in receiving your telefax is a result of it being sent through the Villa Hotel. For future messages, please use our telefax number, 501-2-30215.

Sincerely,



Lourdes Smith
Training Assistant/CAPS
Project Manager

COSTA RICA

CAPS EVALUATION OBJECTIVES

SEPTEMBER 28, 1989

--PREPARED BY CAPS EVALUATION NEEDS ASSESSMENT TEAM--

This report represents the first effort to summarize the main points of our discussions in San Jose on September 14, 1989, regarding your evaluation goals. We encourage you to revise and expand upon this report as necessary.

Our sense of the meetings is that there are least seven different areas of need where additional evaluation efforts might be profitably used in the coming year and as part of CLASP II. They are as follows:

1. Systematizing/computerizing/analyzing evaluation data already collected. You have collected questionnaire and group data from returning CAPS participants and would like technical help in systematizing this data set and subjecting it to computer analysis. The focus should be on relatively straightforward evaluation questions such as looking at differences between rural and urban groups, male and female participants, long-term versus short-term programs, and programmatic emphases.
2. Longitudinal studies of selected CAPS participant groups to identify future careers and behaviors. This study would track a cohort of trainees over time to acquire basic information about the group; employment history; evidence of being organizers or of showing personal initiative; residence patterns (e.g., do they stay in their communities or move into San Jose); evidence of civic mindedness; etc. One particularly important question is what happens to the high school participants once they finish their University studies?
3. In-depth follow-up studies of selected trainee programs to assess worksite and community effects. Four groups suggested for such in-depth case studies include firefighters, rural leaders who set up community banks, Ministry of Education trainees, and English teachers.
4. In-country English language training. What are the benefits/costs derived by keeping trainees in Costa Rica for their English language training as opposed to sending them with some English skills to have their U.S. experiences? What is a necessary TOEFL score to maximize

the training experience?

5. **Leadership.** You discussed the possibility of deriving culturally sensitive measures of "leadership" as a way of helping in the recruitment and selection of potential leaders for the CAPS training programs. One group particularly of interest in this regard is the group of high school leaders who might be followed over time.
6. **Short-term versus long-term benefits of training experiences.**
7. **Strategies used by families to maximize the training experience (e.g. borrowing money from relatives to bring spouses/children to the U.S.), and the long-term repercussions of these strategies (e.g. indebtedness or increased economic opportunity for other family members as a result of their experience in the U.S.**

Item #1 could be a useful and feasible evaluation goal for the last year of the CAPS project and, at LAC's discretion, might be funded through the monies for CAPS evaluation activities in the Academy for Educational Development's CAEFTS contract. Items #2 and #3 could be started as well and carried through into CLASP II, either through Mission buy-ins or as part of the CLASP II Evaluation base contract. The remainder of the items could well be yearly evaluation goals throughout the duration of CLASP II.

EL SALVADOR

CAPS EVALUATION OBJECTIVES

SEPTEMBER 28, 1989

--PREPARED BY CAPS EVALUATION NEEDS ASSESSMENT TEAM--

This report represents the first effort to summarize the main points of our discussions in San Salvador on September 19, 1989, regarding your short-term evaluation goals. We encourage you to revise and expand upon this report as necessary.

Our sense of the meetings is that there are least five different areas of need where additional evaluation efforts might be profitably used in the coming year and as part of CLASP II. They are as follows:

1. **Leadership.** What are leadership skills in El Salvador culture as defined by the people themselves? How are leaders defined differently in barrios, rural cooperatives, factories, and the like? Can you use these data to sharpen your ability to identify potential leaders? What are you doing to enhance the leadership skills of the returning trainees?
2. **Longitudinal, follow-up studies of selected groups of participants.** Study selected groups of trainees would be studied to identify cultural and economic constraints to applying their CAPS training. One major concern of such studies would be to see whether impact effects tend to increase or become diluted with time. No decisions about specific groups to be followed were made, but long-term participants were mentioned in this context.
3. **In-depth follow-up studies of selected trainee programs to assess worksite and community effects.** Two groups mentioned were coaches and community promoters.
4. **A study of the effects of trainee on their host communities in the U.S.** What are the attitudes of

their sponsors and host families toward them? In what types of activities have they been involved?

5. Assistance of an evaluation methodologist to provide guidance in systematizing and computerizing existing evaluation data and in training personnel in OET in the systematic collection and analysis of qualitative data through such techniques as focus group research.

Items #1, and #5 could be useful and feasible evaluation goals for the last year of the CAPS project and, at LAC's discretion, might be funded through the monies for CAPS evaluation activities in the Academy for Educational Development's CAEFTS contract. Items #2 #3 and #4 might begun in the coming year as well and could be carried through into CLASP II, either through Mission buy-ins or as part of the CLASP II Evaluation base contract.

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UNITED STATES OF AMERICA A. I. D. MISSION
TO EL SALVADOR
C/O AMERICAN EMBASSY.
SAN SALVADOR, EL SALVADOR, C. A.

A.P.O. Miami, FL 34023
Tel No.: 503/98-1666
Telex: 20648 USAID SAL
FAX: 503/98-0885



TELEFAX COVER SHEET
USAID/ES FAX MESSAGE NO: 89-109

Date: October 17, 1989

Please deliver the following pages to:

NAME: RAY CHESTERFIELD

FAX No: (703) 845-9758

OFFICE: Juárez and Associates, Inc.

Tel No: (703) 845-9688

ADDRESS: 2800 Shirlington Road
Arlington, Va 22204

Total Number of Pages, Including this Cover Sheet: 3

FROM:

NAME: JALEH DE TORRES

FAX No. (503) 98-0885

OFFICE: OFFICE OF EDUCATION & TRAINING (OET)

Tel No. (503) 98-1666

ADDRESS: USAID/SAN SALVADOR

REMARKS:

The original memorandum will be sent by air mail.

Cleared by: *MR Chatman*
MR Chatman, OET
Office Director

UNITED STATES GOVERNMENT

memorandum

DATE: October 17, 1989

REPLY TO
ATTN OF: Patsy P. Layne, Director, OET
For Mike

SUBJECT: CAPS Evaluation Needs Assessment

TO: Ray Chesterfield, Consultant
Juárez and Associates, Inc.

In response to your FAX memorandum of September 28, 1989, we are submitting the following comments:

1. Leadership Study: we will consider this study as a follow-on activity to the Social Institutional Framework (SIF) Analysis recently done by Dr. David O. Hansen of Ohio State University. The Mission plans to have annual updates on the SIF which may include the items you pointed out in your report.
2. Longitudinal, follow-up studies of selected groups of participants: We are interested in learning more about the cost and structure of such studies.

We are particularly interested in tracking our long-term Scholars and measuring/evaluating the following aspects within 6 to 12 months after their return to El Salvador:

- job placement and relationship to training received;
 - level of satisfaction with job after training; and
 - analysis of any special leadership positions occupied by CAPS returnees and their impact.
3. In-depth follow-up studies of selected trainee programs to assess worksite and community effects. In this category, we would basically consider short-term training in general and the following short-term groups in particular:
 - Public administrators
 - Cooperative members
 - Small scale entrepreneurs
 - Local leaders (rural mayors, community leaders, P.E. teachers/coaches, and student leaders).

4. USAID/El Salvador's purpose of this study is to measure: a) how El Salvador and Salvadorans were perceived by their sponsors and host families; b) if U.S. families and American roommates' knowledge about El Salvador has increased; and c) how to improve the pre-departure orientation/cultural program in order to respond to needs in items (a) and (b).
5. Assistance of an evaluation methodologist to provide guidance in systematizing and computerizing existing evaluation data and in training OET/CAPS personnel in the systematic collection and analysis of qualitative data through such techniques as focus group research.

OET is interested in this type of assistance for the coming year. We also desire that personnel from the San Salvador Office of the National Association of the Partners of the Americas be included in the training.

We do agree that items No. 1 and No. 5 above be funded from the available evaluation funds under CAEFTS contract and items Nos. 2, 3, and 4 be funded as part of the CLASP II Evaluation bas contract. USAID/El Salvador is interested in the outcome of your assessment in order to plan specific studies, evaluations and technical assistance as described above.

GUATEMALA

CAPS EVALUATION OBJECTIVES

SEPTEMBER 28, 1989

--PREPARED BY CAPS EVALUATION NEEDS TEAM--

This report represents the first effort to summarize the main points of our discussions in Guatemala City on September 11-12, 1989, regarding your evaluation goals. We encourage you to revise and expand upon this report as necessary.

Our sense of the meetings is that there are three primary evaluation objectives which you would like to begin implementing during the coming year or as part of CLASP II. They are as follows:

- I. Review and revise data collection instruments and analysis already in place. A number of evaluation instruments already exist including a questionnaire on attitudes toward the United States, another on aspects of the training process, and an "essay" instrument focusing on "leadership" and involvement after return. You would like the services of a trained evaluation methodologist to help re-evaluate these data collection forms to produce a data base more sensitive to local Guatemalan information needs.

You would also like this individual to render current data suitable for computer analysis and input into computer. Data sources which go back to 1985 should be examined for longitudinal trends and a further, follow-on instrument be devised. Additional analyses should focus on simple cross-tabulations including gender of program participant and ethnicity.

- II. Special studies of program outcomes.

- A. Leadership. What are leadership skills in Guatemalan cultures as defined by the people themselves? Can you use this data to sharpen your ability to identify potential leaders? What are you doing to enhance the leadership skills of the returning trainees?

- B. **Economic impact.** What kinds of social and economic impacts might returnees have in their families, their communities, their worksites, and/or their professions?
 - C. **Political participation.** What forms do local political participation of returned CAPS scholars take (e.g., joining a party, voting in elections, contributing monies or time to a political party), and does political participation change as a function of having been a CAPS trainee?
- III. **Longitudinal, follow-up studies of selected groups of participants.** Study selected groups of trainees on whom some data has been collected as early as 1985. One major concern of such studies would be to see whether impact effects tend to increase or become diluted with time. No decisions about specific groups to be followed were made, but several suggestions emerged: micro-entrepreneurs, rural health workers, and indigenous disadvantaged women.

Item #1 could be a useful and feasible evaluation goal for the last year of the CAPS project and, at LAC's discretion, might be funded through the monies for CAPS evaluation activities in the Academy for Educational Development's CAEFTS contract. Item #3 could be started as well and carried through into CLASP II, either through Mission buy-ins or as part of the CLASP II Evaluation base contract. The studies of Item #2 could well be yearly evaluation goals throughout the duration of CLASP II.

HONDURAS

CAPS EVALUATION OBJECTIVES

SEPTEMBER 28, 1989

--PREPARED BY CAPS EVALUATION NEEDS ASSESSMENT TEAM--

This report represents the first effort to summarize the main points of our discussions in Tegucigalpa on September 13, 1989, regarding your short-term evaluation goals. We encourage you to revise and expand upon this report as necessary.

Our sense of the meetings is that there are least six different areas of need where additional evaluation efforts might be profitably used in the coming year and as part of CLASP II. They are as follows:

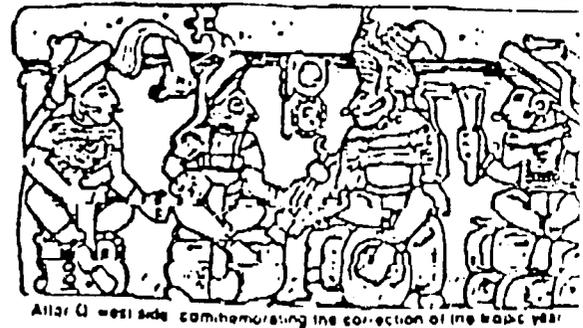
1. Revise current data collection instruments and analyze initial data. Some evaluation data already exist including a questionnaire given upon re-entry to program participants. You would like the help of a trained methodologist to analyze what data are available, and to carry out this analysis in a way that would directly feed into your own follow-on work. Part of this effort would also involve the training of a local person in dBase so that he/she can continue the manipulation of data and generation of reports. In addition, the methodologist would help the Mission customize its evaluation plan.
2. Studying those who applied to the program but were not accepted. You noted that there are twenty applicants for every one person accepted for the training, and that those who are not approved may do the program some harm by speaking ill of it. What are the subsequent histories of those who are accepted into the program and those applicants who are quite similar in most regards for one reason or another, are not accepted?
3. Out-of-work frustration period for returnees. What are the consequences for the long-term participants who are unable to find work upon return to Honduras? In particular, how do the families of returnees react to the lack of economic contribution of returnees? What are the consequences (personal, social, and economic) of not getting a job? Are there any effects on the workplace or on employers (former and prospective) of those who have gone to the training but who are unable to find employment upon return?

4. **Follow-up on female participation.** You have identified a concern with knowing whether, and in what ways, women in the program use skills gained during the training. Does machismo as a cultural attitude inhibit, or limit, female contributions to family, community, workplace, or cultural life?
5. **Male versus female participation in the follow-on programs.**
6. **Monitoring the achievement of project purposes.** Some dissatisfaction was expressed at using measures such as "number of people trained" as stand-in indicators of the implementation of other programmatic goals--e.g., the use in-country of democratic values. This might lead to more sophisticated instrumentation requiring both the specification, and operationalization, of program objectives.

Item #1 could be a useful and feasible evaluation goal for the last year of the CAPS project and, at LAC's discretion, might be funded through the monies for CAPS evaluation activities in the Academy for Educational Development's CAEFTS contract. Item #4, given its importance throughout the region, might be undertaken in the coming year as well and could be carried through into CLASP II, either through Mission buy-ins or as part of the CLASP II Evaluation base contract. The other Item could well be yearly evaluation goals throughout the duration of CLASP II.

AGENCY FOR INTERNATIONAL DEVELOPMENT

USAID/HONDURAS



Altar Q west side commemorating the correction of the Maya year

Telephone 011-504-32-3120
Telefax (504) 31-2776
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TELEFAX CONTROL NUMBER 10-14

TO: Ray Chesterfield
OFFICE: Juarez and Associates, Inc.
COUNTRY: Arlington, Virginia

FAX NO. (703) 845-9758
DATE: 10/4/89
NO. PAGES 2
(Include cover sheet)

FROM: Albertina Centeno K. *Albertina Centeno K.*
OFFICE: HRD/P

REMARKS:

CAPS Evaluation Needs Assessment



4000 B 9510 1.5

Mailing Address:

From USA: USAID/Honduras, APO Miami, FL 34022

Albertina Centeno K.

memorandum

DATE: October 4, 1989

REPLY TO
ATTN OF: Albertina Centeno K., HRD/P

SUBJECT: CAPS Evaluation Needs Assessment

TO: Ray Chesterfield, Juarez & Associates, Inc.

Thank you for your memorandum transmitting comments on CAPS Evaluation Needs Assessment as a result of your recent visit to Honduras.

Following are some additional comments from this Mission:

1. Participant Training has an impact on Honduran society in varied ways. How individuals and institutions view USAID/Honduras training program? Are returned trainees accepted by peers, relatives, employers, etc.?
2. What happens to Participants during their in-country and U.S.A. training is determinant in accomplishing CLASP goals and objectives. How are contractors handling the training program components? Do American citizens who come in contact with participants understand and share the overall CLASP objectives?
3. Follow-up/Follow-on is an important component of Participant Training to what extent are Follow-on activities contributing to achieve CLASP objectives? What are the strengths and weaknesses of Follow-on as it is presently being conducted?
4. The support of the methodologist should not be limited to certain tasks. It should be wide in order to include all evaluation components of the Honduras CAPS II.

APPENDIX C:

RESULTS OF COSTA RICA FOCUS GROUP TRAINING

A report on:

**FOCUS GROUP TRAINING FOR
COSTA RICA TRAINING DIVISION STAFF**

Prepared by:

Regino Chávez
Lic. Elsa Sánchez Fuentes
Juárez and Associates
12139 National Blvd.
Los Angeles, CA 90065

November 10, 1989

EXECUTIVE SUMMARY

During October/November 1989, Juárez and Associates conducted training in the focus group methodology for the staff of the Training Division of USAID/Costa Rica. The activity was a component of Technical Services Order no. 59 and was carried out under the Central American Education Field Technical Support (CAEFTS) contract held in conjunction with the Academy for Educational Development.

The activities conducted under this technical services order were as follows:

- o Meet with the Chief of the Training Division to set up logistics for the training;
- o Prepare for and conduct four focus groups to allow trainees to observe the method in practice;
- o Observe the strategies used by local staff for group management and data collection during orientation for a group of twenty English teachers taking place at the local Mission; and
- o Conduct training in the use of the focus group method.

It was found that the staff, after receiving training in the use of the method, concluded that it is a useful technique that can be applied in their daily tasks during orientation or during debriefing of groups upon their return from the U.S. They saw the advantage of the method as allowing the collection of data on relevant subjects in a quick and efficient manner. However, Mission trainees felt that they had not received enough information on communication strategies, note-taking strategies, data reduction and data analysis techniques to make the method truly effective.

The report recommends follow-up training in the above mentioned areas. Also, it is suggested that systematic data analysis be conducted on the data obtained through the evaluation instrument used with the returned CAPS scholars. Present day data analysis software programs are user-friendly and permit the use of a wide range of data analysis strategies in an efficient manner by novices in quantitative methods. It is also suggested that the focus group method can be used to interpret discrepancies in the findings of the quantitative evaluations.

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I. INTRODUCTION

In June of 1989, LAC/DR/EHR contracted with the Academy for Educational Development to carry out a series of activities related to an evaluation of the Central American Peace Scholarship program. These activities had as objectives: developing an evaluation plan and prototype instrument for CAPS; determining the consistency of the evaluation plan with the information needs of Central American Missions in terms of the effects of their CAPS programs on returned participants; and, assisting the Missions in using qualitative methodologies in meeting their information need. The results of the first two of these activities which were carried out by a team consisting of personnel from AED and its subcontractor, Juárez and Associates, Inc. were provided in reports submitted previously to USAID. The results of the third activity, focus groups conducted with returned scholars in Costa Rica, is the subject of this report.

A. Background

On September 28, 1986, the Academy for Educational Development and A.I.D. signed amendment Number 9 to the Central American Education Field Technical Support (CAEFTS) contract. Included in this amendment was \$509,434 from the Central America Peace Scholarships (CAPS) program to be used exclusively for purposes of evaluating the CAPS program.

This report addresses the results of a technical services order (TSO) that is the fourth in a series of draw-down TSOs designed to make use of this \$509,434 for CAPS evaluation purposes. The objective of this TSO is to assist the LAC Bureau adapt qualitative methodologies to meet the evaluation needs of USAID Missions in Central America with regard to their CAPS training programs and to gain further knowledge on the effects of training under CAPS on individuals who have returned from the U.S. and are now re-integrated into their home communities.

Three experiences served as sources of information for this TSO. The first experience, or phase one, was conducted between January 3 and February 26, 1989. The objective of this phase was to develop procedures for carrying out in-depth case studies of returned CAPS scholars in selected Central American countries. During this phase, the contractor identified and reviewed relevant documents, met with AID/Washington, USAID/Costa Rica, USAID/Guatemala, CAPS contractors, Aguirre International and the CLASP II Project Paper team. Case study procedures and a fieldwork manual were developed, and a sampling plan was selected for Phase Two. Fieldworkers for Phase Two were also identified.

Phase Two was carried out between March 1 and June 15, 1989. In this phase, case studies were conducted in Guatemala and Costa Rica, two countries that have emphasized the training of leaders. Based on the findings from the case studies a report was prepared that: (a) summarized the effects of training as related to career advancement, perceptions of the U.S., (b) discussed lessons learned for training leaders; (c) made recommendations for subsequent activities of the CAPS Case study evaluation; and, (d) presented a draft evaluation design for CLASP II.

The draft evaluation design was used as a departure point for a workshop held over the three-day period, May 3-5, 1989 to explore design options for an impact evaluation of CLASP II. The workshop brought together two quantitative evaluation design specialists, a sampling specialist, and two qualitative evaluation specialists with members of the CLASP II project design committee and a representative from OIT. The major insights resulting from this collaboration were: the USAID Missions will be the primary audiences/users of the impact evaluation results; the impact evaluation should be a collaborative effort involving the contractor and the Mission technical officers; specific evaluation studies carried out at the mission level should also include cross-cutting questions/constructs important to meeting the information needs of other audiences (e.g. AID/W, Congress); and, the evaluation design should be flexible enough to respond to questions that arise as the CLASP II program evolves over time.

B. Project Objectives

This TSO was designed as a means of checking on the consistency of the evaluation plan and local Mission priorities in terms of their evaluation needs. Building on all previous activities, the TSO included within its objectives to visit Central American USAID Missions to discuss Mission evaluation priorities, work with Mission personnel in developing appropriate methodological approaches to meet their evaluation needs; and to identify specific evaluation studies in countries where priorities and methodologies had been identified. As part of these series of activities, Mission staff in the Costa Rica Training Division were to be trained in the use of qualitative strategies for evaluation purposes.

C. Assumptions

Several assumptions were made in the conduct of this task. First, it was assumed that staff had some knowledge in research methods and that no extensive training in either quantitative or qualitative methodology would need to be conducted. Information to be provided was aimed at a review of qualitative methods and at placing the focus group methodology within the context of social science methodology, marketing and qualitative methods in

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Focus Group Training: Trip Report

particular.

Also, it was assumed that mainly administrative staff presently conducting work with groups would be provided with the training. Thus, there would be some knowledge of group dynamics, freeing the trainer to emphasize imparting information on the components of the focus group methodology and on strategies for managing the groups to collect specified information.

Finally, it was assumed that the Mission staff would have sufficient free time to attend a six-hour training session. The training program, then, could address the theoretical aspects of the methodology as well as allow trainees to practice with the distinct components. However, given the presence of the visit by ex-scholars as well as the scheduling of a three-day orientation for new scholars, staff time was extremely limited and a three-hour training program was developed.

This trip report provides details of the activities undertaken in the training of USAID/Costa Rica Training Division personnel in the use of qualitative techniques and in the use of the focus group methodology in particular. This activity is the last one authorized under the existing TSO.

D. Organization of the Report

The major sections following this introduction describe the procedures used in conducting the project activities, detail the findings and present conclusions and recommendations resulting from these findings. Specifically, section II reviews the scope of work and discusses the activities carried out to comply with the work scope. Section III presents conclusions and recommendations for evaluation activities.

Focus Group Training: Trip Report

II. PROCEDURES

This section discusses the procedures followed in carrying out the activities of the training of Costa Rican Mission personnel in the use of the focus group methodology. The first section details the scope of work and subsequent adjustments to the scope given the needs of the local Mission staff. The second describes the study team; and the third outlines the steps followed to work with the Mission staff, primary users of outcome evaluation needs.

A. Scope of the Study

The principal objective of this study was to train local Costa Rican Mission staff, that is specific individuals in the Training Division who work directly with the CAPS program, in the use of qualitative methods. Originally, the intent had been to carry out focus group research with long-term CAPS returnees in Costa Rica. The Mission had identified this activity as an evaluation need. As the qualitative methodology to be used may be applicable in other countries as needs are identified, this work was included in the TSO focusing on the evaluation needs assessment. Discussions with the Chief of the Training Division in USAID/Costa Rica pointed to the need to have the staff of the division versed in the use of the technique so that they could use it to collect information in a timely manner. Thus, a training component was added to the data collection effort.

This document reports on the activities undertaken to conduct the training. Among those described are the development of a training manual, the conduct of focus groups with CAPS returnees as well as with new scholars, and the training of the Training Division staff in the use of the focus group method.

B. Study Team

Mr. Regino Chávez had primary responsibility for the study. Logistical support as well as some technical responsibilities were provided by Ms. Elsa Sánchez Fuentes.

Mr. Chávez, a sociologist with ample experience in the evaluation of education and marketing programs in Latin America, is employed by Juárez and Associates as the Director of Marketing/Private Sector. In addition to his work in the United States, Mr. Chávez has worked extensively in Central America using the focus group methodology in both Guatemala and El

Salvador. He has trained staff of numerous public sector organizations in the use of the methodology.

Focus Group Training: Trip Report

Lic. Elsa Sánchez Fuentes is a specialist in the design of educational curriculum, textbook development and teacher training, and is presently an administrator in the Ministry of Education. She has also participated in educational program evaluations in Guatemala and Honduras, has provided training for the development of school textbooks and has experience in the use of focus group methods among rural populations in Latin America.

C. Procedures

A number of activities were carried out to meet the objectives as specified in the SOW. The five primary activities undertaken were the following:

Discussions with Division
Chief

Development of Training
Materials

Conduct of Focus Groups

Observation of Orientation
Program

Conduct of Training

1. Discussions with Chief/Training Division.

During June and July, 1989, discussions were held with Dr. David Losk, Chief, Training Division of USAID/Costa Rica. During those discussions, Dr. Losk approved the conduct of focus groups to assess the feasibility of using the methodology for evaluation purposes. Juárez staff were to visit Costa Rica to recruit, conduct the groups and write reports on the findings.

During the previous team's visit through Central America, discussions with the team members focused on the feasibility of developing capabilities among Costa Rica Training Division staff in the use of the focus group methodology. A training component was then added to the SOW to be carried out under this TSO. The activity was scheduled for September, 1989 but had to be postponed until October to coincide with the visit of ex-scholars to the USAID offices. The visit presented an opportunity for the staff to see the methodology in practice.

Focus Group Training: Trip Report

2. Development of Training Materials.

A manual for use during the training and that trainees could use as a reference was developed prior to arrival in country. The manual addressed the several important topics including: a) the role of research in administrative decision-making; b) qualitative methods and the focus group methodology; c) components of the focus group methodology; and d) strategies for managing a group. A copy of the manual is included in this report as Appendix A.

Additionally, a moderator's guide, sample topline report and observer's notes were provided to trainees during the program.

3. Conduct of Focus Groups.

The purpose of the training was to assist USAID personnel with their evaluation needs. As such, an attempt was made to select a situation representative of those needs. The opportunity presented itself with the scheduling of interviews of for 13 journalists who had recently returned from a CAPS training program in the U.S. Conduct of focus groups with this group could easily be geared to provide impressions of program effects as well as provide information useful in the redesign of unsatisfactory aspects of the training program. As a consequence, the trainer, in conjunction with USAID staff, decided to take advantage of the availability of the journalists to conduct groups.

In total, however, four focus groups were conducted so that trainees could observe the methods and the techniques in practice. Two groups were conducted with the ex-scholars in the field of journalism to assess the impact of their experiences during the training prior to leaving for the U.S. as well as to identify their perceptions of the training received in the U.S. Another two groups were conducted with new scholars (English teachers) who were receiving orientation training at USAID/Costa Rica prior to their departure for their CAPS experience in the U.S.

Although several different types of group interviews were to be carried out with the journalists, initially, only one focus group had been scheduled to take place. That is, USAID staff were to conduct group interviews in the manner usually carried out. The trainer was to observe the groups and provide a comparative framework between their technique and that of the focus group methodology. Then, the trainer was to conduct a focus group to be observed by staff members. However, given that all staff members could not observe the group to be conducted by the trainer, the program was altered to allow for the conduct of two focus groups with the journalists.

Additionally, as there was to be a group of twenty English teachers receiving orientation for their CAPS program, an attempt was made to have Training Division staff organize and conduct focus

Focus Group Training: Trip Report

groups with the teachers attending the orientation program. The objective of these groups would be to assess the compatibility of USAID's objectives for the participants with the scholars' own expectations of the training program. Staff, however, wanted more opportunities to observe the focus group methodology in practice. Thus, the trainer conducted two more groups with the English teachers assessing the match between program objectives and personal expectations. Again, the objective was geared toward assessing the utility of the existing USAID program.

In the process of preparing the groups, two staff members received training in the conduct of a moderator's guide. Two distinct guides were developed (one for each set of groups). Appendix B is a copy of the moderator's guide used with the journalists. Also, a topline report was written by the trainer as a example of the formatting and content of focus group reports. Appendix C is a copy of the report. Finally, observer's notes, included as Appendix D, were used during the training as examples of the level of note-taking and as a base for an exercise in data analysis. The latter, however, did not take place given the limited amount of time allotted to the training.

4. Observations of the Orientation Program.

During the course of three days (November 1st, 2nd, and 3rd), USAID staff conducted an orientation for twenty (20) secondary school English teachers who had been selected to attend a CAPS training program in the U.S. Juárez staff observed the orientation program to identify both expectations, both technical and personal, which the orientation was creating. Focus groups were conducted with the twenty teachers to determine whether the expectations created through the orientation were similar to their personal expectations of the training to be received and to obtain impressions of scholars' preconceptions of the U.S. society. The basic purpose of these two groups was to demonstrate to USAID personnel that the method could be used to collect information quickly for a the variety of purposes.

The orientation consisted of a number of presentations by USAID staff as well as U.S. CAPS contractors. Contractors from the U.S. were present to provide information on the specific program that the scholar would be undertaking while in the states. Local contractors were present to provide information on the English language and cultural course that the scholars would attend prior to leaving for the states. Scholars were also requested to undergo several medical exams, meet with Ministry of Education officials to arrange for leaves of absences and other official acts, and receive assistance in obtaining a passport. Among the activities observed during the orientation were the following:

Focus Group Training: Trip Report

The history of USAID

CAPS and its history

Contractor presentations on the Scholar's specific training program: purpose, content, and logistics

The U.S. culture (group activities)

Travel arrangements

English language proficiency exam

5. Conduct of Training.

On November 6th, seven members of the Training Division staff were provided with training in the focus group method. They included secretaries as well as administrative staff members. The training took place in the USAID conference room adjacent to the offices for the Training Division and was conducted by Regino Chávez assisted by Lic. Elsa Sánchez Fuentes.

The training consisted of two 1½ hour small group sessions. Appendix E is a copy of the agenda for the training sessions. Utilizing an outline, included in this report at Appendix F, the trainer attempted to use the focus group technique as the basis for managing the sessions where appropriate.

Initial topics addressed the importance of research for decision-making and provided basic concepts on qualitative methods and placed the focus group methodology within the context of qualitative methods. The latter was designed to give trainees a base of understanding for the method as well as its uses. Using a question-answer technique, the trainer solicited information on the trainees observations during the focus groups to introduce topics, define concepts and describe techniques. A planned exercise in the development of a moderators guide as well as in data reduction could not be undertaken given the limited time allotted for the training.

At the initiation of the training, many of the staff members stated that the focus group method was not practical for their line of work. It required working with too small a group; it required

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the development of instruments to use with the group (moderator's guide); and it required too much time in planning the group in order to organize information to present in a report. Also, it appeared that the staff members were somewhat dissatisfied in that they had not been given any information on purpose of the session prior to the training nor had the trainers been introduced to them upon their arrival at the Mission.

During the training, however, attitudes among the staff shifted; as the trainer asked questions and involved them in the session, they demonstrated interest in the topics (as shown by the number and nature of questions staff asked) and began to talk about how they could apply some techniques in their work. One trainee talked extensively about having conducted a group with rural participants and how much easier the data collection effort as well as how much more group dynamics had been present when she had functioned somewhat as a moderator. It was noted that during the training, the personnel's concerns were focused more on the fear that the use of the method would take more of their time than the information-gathering strategies presently used. Some also noted that they generally did not work with groups and could not see how they could apply the techniques under discussion.

Other issues discussed during the training included the problems in report writing. The staff member who wrote reports mentioned that it appeared to her that no one used her reports on group findings. Others suggested that one problem with the report was that it took too long to produce; thus, by the time it was submitted, the report had little relevance to the administrators. Still others mentioned of their need to have a system that would allow them to examine rapidly the evaluation questionnaires submitted by scholars. Presently, they had no mechanical system in place to conduct the analysis of the data. Frequency counts on answers were conducted manually by whoever was in need of data.

By the end of the training, most understood that the focus group method could be adapted to their work. Several made reference to the advantage of this method when they had to work with rural populations who generally have a difficult time expressing themselves. Also, most understood that the systematic way in which information was collected through the focus group method, in fact, can cut down the time spent in data collection. They did remain skeptical about the time required to develop a report on the findings.

Trainees did state that they had wished more time had been allowed for the following:

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Role playing at moderating a group

Note-taking

Data reduction

Data analysis

Report writing

The last five minutes of the training session were devoted to an evaluation of the presentation by the trainees. Trainees were asked to fill out a short questionnaire which Mr. Chávez distributed. Comments by the group were generally very positive noting that the training was useful although none could state specifically how they intended to use the method in their work. The majority also commented how they would have like to have seen a video of a group during the training session. The latter finding was surprising as the trainer had expected their having observed a "live" group would have been more beneficial than viewing a video.

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III. Conclusions and Recommendations

During November, 1989, Juárez and Associates conducted four focus groups and provided training for the Training Division staff of the USAID/Costa Rica Mission in the use of the focus group methodology. The objective of the effort was to provide a strategy to Mission personnel that would allow examining issues related to the CAPS program in a rapid manner. The method can be used to obtain information for use in a formative evaluation of any aspect of the training program.

Four groups were conducted to allow staff members who were to receive training, to observe the method. All members who attended the training session did receive an opportunity to observe at least part of one group.

Seven Mission staff were trained in the use of the focus group methodology. The training can be characterized as having experienced three distinct phases: a) initially, staff members were dissatisfied with the being at the session and were skeptical about the utility of the methodology; b) during the training session, questions were raised and issues addressed that were pertinent to their tasks thus raising expectations and interest in the method; and c) by the end of the session, trainees were providing information on opportunities and situations in which they had used similar methods or in which such methods would be most appropriate. Thus, attitudes were changed with regard to the utility of the focus group method as the issues addressed became more pertinent to their daily tasks. However, given the length of time of the training, several aspects of the method were not covered in detail. Thus, staff members require more information on the following topics:

- Communication strategies, especially nonverbal communication strategies,
- Note-taking and data reduction;
- Data analysis; and
- Report Writing.

Also due to time constraints, no excercises were conducted during the training. As a consequence, trainees did not receive an opportunity to role-play at moderating a group. Another excerise in note-taking and data reduction was not carried out. Trainees could use practice in these activities to obtain skills in qualitative data analysis.

Given the experience with these Mission staff trainees, it is apparent that the focus group method can be utilized for formative

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evaluation purposes at various stages of program implementation. For example, staff members can utilize the method to determine whether Mission expectations of the performance and outcomes are compatible with those of the trainees. If these are not consistent, USAID staff can act to bring the two sets of expectations in line, thus minimizing the dissatisfaction with a program that does not meet the scholars' expectations. Also, the method can be used to obtain impressions from the scholars with regard to their experiences in the United States in a given training program.

Given the enthusiasm and interest generated in the use of the method, Training Division administrators may wish to consider the two following recommendations:

- Follow-up training in specific aspects of the focus group method;
- Selection of only those staff members who will be working with groups to receive the follow-up training;
- Incorporating results from the scholar evaluations as themes explored through the focus groups.

Several follow-up activities should be considered for the staff of the Costa Rica Mission. Among the recommended follow-up activities more training in the following areas:

Role-playing in focus group moderating

Exercises in note-taking, data reduction, and data analysis

Exercises in report writing

Additionally, USAID may wish to identify those staff members that are more likely to work with the groups in a concentrated manner and select these for further training in the focus group

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method. This is especially important if follow-up training will be considered in the above-mentioned topics. Given the limited amount of time available to staff, it is best to work with those who will be putting the method in practice.

Finally, there is another source of data that is presently not being fully utilized in terms of evaluation. The data provided through the scholars' written evaluations has not been subjected to systematic analysis by Training Division staff in the past. This has been due to the lack of a means to conduct such an analysis in an efficient manner. However, presently there are various quantitative data analysis software programs that are user-friendly which the staff could be trained to use. This would provide a greater range of data analysis options for Mission staff and would allow greater manageability of the data than the hand-tabulation technique presently used. USAID Training Division staff may wish to consider automatizing their data analysis strategies for the quantitative aspect of their program. Focus groups can be conducted to explore more fully the findings from such evaluation data. This can be especially helpful when there are inconsistencies in what the program administrators know occurred and what the scholars state has occurred.

Appendix A: Training Manual



Juárez and Associates, Inc.

MANUAL DE CAPACITACION

GRUPOS DE DISCUSION

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27 de octubre, 1989

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CAPITULO I

El uso de métodos cualitativos

Las investigaciones sobre el mercado toman un papel de suma importancia en la administración de empresas. Este tipo de investigación tiene como objetivo principal el apoyo de decisiones administrativas, y también sirve para que la organización llegue a entender y cumplir con las necesidades siempre evolucionantes de los diversos grupos de consumidores.

Se define la investigación sobre el mercado como un proceso con el cual una organización puede especificar, recopilar, analizar e interpretar información de manera sistemática, lo cual sirve para comprender el medio ambiente, identificar problemas y oportunidades, desarrollar y evaluar bien un plan administrativo a seguir. Las características que se consideran en una evaluación del mercado son las percepciones de parte del consumidor acerca del producto o servicio utilizado, percepciones sobre las estrategias de la competencia, los problemas de distribución, precios y/o publicidad. Hay que tomar en cuenta también conceptos de tipo tecnológico, social, político y cultural.

Estudios de mercadeo no se limitan a ser realizados sólo por empresas. Más y más organizaciones del sector público están adaptando los métodos para identificar las necesidades de usuarios de sus servicios, para identificar obstáculos a proveer servicios, o para determinar la manera más eficaz para informar a segmentos específicos de la población sobre la existencia de estos servicios.

Para realizar una investigación, se fijan objetivos específicos que indican precisamente que es lo que constituye el objeto directo del estudio y se formula una estrategia para llevarlo a cabo. El objetivo de la investigación puede ser de tipo exploratorio, descriptivo, o causal. Se pueden usar métodos o cuantitativos o cualitativos para recopilar los datos. El método que se escoge depende de los objetivos específicos de la investigación, el tiempo disponible, el presupuesto, y otros factores más. Generalmente se usan los métodos cualitativos para fines de exploración, de manera que el investigador se oriente a:

- o el alcance y la complejidad de las actividades del consumidor;
- o la aclaración de un problema; o
- o la identificación de problemas de tipo metodológico.

Entre los usos del método cualitativo se encuentra lo siguiente :

- A. Conocimientos sobre una compañía u organización, las características de algún producto o servicio y sus usos, una marca, publicidad, o algún otro aspecto de la distribución o precio.
- B. Percepciones del consumidor (actitudes, opiniones, preferencias);
- C. Intenciones del consumidor;
- D. Comportamiento del consumidor (qué tipo, cuánto, dónde, cuáles situaciones, por qué, quiénes);
- E. Características del consumidor.

Los métodos que se emplean en la investigación cualitativa son entrevistas individuales, observaciones y grupos de discusión.

CAPITULO II

El concepto de los grupos de discusión

A. La importancia del contacto con los clientes

El cliente tiene una perspectiva distinta a la del investigador: su enfoque principal está en los productos o servicios que le provee al consumidor. Cuando este individuo pide alguna investigación, generalmente queda poco tiempo para el planteamiento de los conceptos, la implementación del estudio y el análisis de los datos.

Se trabaja directamente bajo la supervisión del cliente, lo cual influye en cuanto a las características del moderador. La calidad de más importancia del moderador es la capacidad de recopilar la información sobre un tipo de individuo (por ejemplo, Costarricense, usuario de servicios del programa CAPS), asimilarla, y luego transmitirla a otra persona (el cliente).

Al cliente, generalmente, le hacen falta conocimientos sobre el consumidor de sus productos o usuario de sus servicios. Entonces, el moderador necesita realizar lo siguiente:

Descubrir los estereotipos que tiene el cliente sobre el usuario del servicio o consumidor del producto.

Identificar los diferentes segmentos que forman el grupo de consumidores.

Identificar los aspectos de más importancia en cuanto el objetivo del estudio.

Comunicar la información al cliente en una manera neutral.

Hay que tener una idea bien clara de que es precisamente lo que quiere el cliente: ¿qué tipo de información busca por medio del grupo de discusión? ¿Ha tenido el cliente experiencia con este método? Las respuestas a estas preguntas afectarán no solo en la manera de manejar los grupos sino también en determinar si este tipo de investigación sea la más apropiada para la recopilación de los datos requeridos para la toma de decisiones.

B. Definición del concepto "grupo de discusión"

Entre las varias técnicas que se emplean en la investigación cualitativa se encuentra el grupo de discusión.

El grupo de discusión es un tipo de entrevista, sin estructura rígida, dirigida por un moderador, entre un pequeño grupo de individuos que han compartido alguna experiencia o tienen alguna característica similar.

El método tiene como objetivo conseguir que los que usan y los que no usan algún producto/servicio hablen libremente y con confianza de sus sentimientos sobre temas relacionados al producto/servicio. Por consiguiente, es importante que la guía del moderador, el ambiente del lugar y el moderador funcionen en conjunto para sacar al máximo la libre expresión de las creencias y sentimientos de los participantes. Un grupo generalmente consiste de siete a doce personas, aunque el número puede variar dependiendo de la preferencia del moderador, lo complejo del tema y el nivel de habilidad de los participantes.

C. Objetivos

Como técnica, el grupo de discusión puede ser empleado para desarrollar preguntas o hipótesis sobre un producto/servicio. No debe ser utilizado para llegar a conclusiones acerca de las creencias, actitudes o comportamiento del grupo a estudiar por la sencilla razón de que no es representativo de la población en general. Se puede utilizar este método para los siguientes propósitos:

FORMULAR hipótesis para pruebas cuantitativas.

OBTENER impresiones sobre nuevos productos.

ESTIMULAR ideas para nuevos usos de productos conocidos.

FORMULAR nuevas ideas para la publicidad.

INTERPRETAR los resultados de estudios anteriores.

D. Ventajas del método

Aunque no se deben sacar generalizaciones para toda la población de los datos obtenidos por medio de esta técnica, existen ciertas ventajas de dicho método. Entre estas ventajas se encuentran las siguientes:

Sinergismo	Casualidad
Reacción en cadena	Especialización
Estímulo	Examen a fondo
Seguridad	Estructura
Espontaneidad	Rapidez

Sinergismo: se refiere a que el efecto total del grupo produce un rango más amplio de información, percepciones e ideas que las respuestas individuales y personales.

Reaccion en Cadena: se refiere al hecho de que un comentario puede lanzar una cadena de respuestas distintas a lo que se esperaba.

Estimular: los participantes se emocionan y desean expresar sus ideas y sentimientos.

Seguridad: los participantes se sienten algo reconfortados al estar en un grupo, sobre todo cuando se dan cuenta de que sus creencias u opiniones son semejantes a las de los demás.

Expresión espontanea y natural: puesto que no es obligatorio que todos respondan, las respuestas que dan generalmente son más espontáneas y naturales (menos cohibidas).

Casualidad: hay más probabilidad que, de manera imprevista, una respuesta produzca la información que pueda ser utilizada para campañas publicitarias, etc.

Especialización: el moderador que se usa pueda ser altamente capacitado y más eficaz en la recopilación de datos que algún

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entrevistador para una encuesta.

Examinar a fondo: por el hecho de que hay más observadores del proceso, hay más oportunidad de examinar la recopilación de datos más a fondo.

Estructura: esta técnica permite más flexibilidad para el tratamiento de los temas bajo estudio.

Rapidez: este método permite que se lleve a cabo las tareas de la recopilación de datos y del análisis de la información con más rapidez.

Existen, sin embargo, ciertas desventajas en el empleo de esta técnica. Por ejemplo, no se pueden usar los resultados para sacar conclusiones definitivas sobre algún tema. Esto se debe, primeramente, a que los participantes no son representativos de la población en general. También se debe a que los participantes constituyen una muestra demasiado pequeña. Dado ésto, no se pueden realizar pruebas de estadísticas con dichos datos. Además, la calidad de los resultados depende de la experiencia y las percepciones del moderador.

E. Tipos de grupos de discusión

Hay tres tipos básicos de grupos de discusión. Estos se definen por los objetivos del estudio a ser realizado e incluyen lo siguiente:

Explorar

Motivar

Crear

Explorar: El objetivo del grupo es proporcionar información que puede ser empleada para ilustrar el posible rango de actitudes o de comportamiento del consumidor, o el rango de diferentes usos de un dado producto, o un servicio. (Descubrir la naturaleza del producto)

Motivar: El objetivo de la investigación es comprender el "por qué" del asunto. Siempre se busca identificar los factores causantes que motivan actitudes o comportamiento del consumidor.

Crear: El objetivo de la investigación es desarrollar "nueva" información, ideas, perspectivas, actitudes y/o usos distintos de productos o servicios.

CAPITULO III

A. Resumen del concepto

Un "focus group" es una discusión programada y realizada de una manera sistemática por un moderador. Se seleccionan de siete a doce participantes basándose en características comunes que se relacionan con el tema de la discusión. El moderador trata de crear un ambiente que permita la presentación de distintas ideas y perspectivas. Se realizan varios grupos para identificar tendencias o patrones de percepción.

B. Componentes del método

1. Guía del moderador

El moderador utiliza un esquema que formula basado en sus propios conocimientos sobre los objetivos del estudio, y el conocimiento de las áreas de interés para el cliente. El esquema debe incluir temas que vayan dirigidos a los objetivos del estudio. La estructura del esquema permite que la información se obtenga de una forma particular; primero, se habla de lo general y luego de lo más particular. Aunque tiene una estructura, el esquema tiene que ser lo suficientemente flexible para que se responda a acontecimientos inesperados. Es bueno asignarle suficiente tiempo a cada sección para asegurar que hay oportunidad de tratar cada tema.

El moderador puede utilizar tarjetas, un esbozo de una sola hoja, etc. para ayudarle a recordar los temas a tratar. Sin embargo, es mejor conocer bien el material y la serie de temas a cubrir.

Si hay tiempo, es buena idea desarrollar una lista de palabras tanto académicas como populares que se usan para referirse a aspectos del servicio o producto bajo estudio. De esta manera, el moderador puede utilizar frases conocidas por los participantes. Esto ayuda en construir el enlace entre el moderador y los participantes necesario para establecer confianza entre todos.

2. Sitios

En una situación idónea, se elige un sitio dentro de la comunidad de donde vienen los participantes para que ellos se sientan más cómodos. Hay que evitar estar lejos de las áreas donde ellos viven para no tener problemas de transporte.

El sitio debe prestarse a un ambiente cómodo para que los comentarios informales salgan libremente. Uno debe sentirse en

una sala familiar con muebles cómodos pero no elegantes.

Idealmente, el salón debe tener sillas suficientes para todos, equipo de grabación, y un espejo especial para observar al grupo. Si es necesario que el observador, generalmente el cliente, esté en el mismo salón, hay que formular una manera de presentarlo al grupo y limitar su participación para que sea observador y no participante.

También es necesario tener un cuarto por separado para hacerles la entrevista inicial a los posibles participantes y para que tomen algún tipo de refrigerio. Es posible que esta sala pueda servir como sala de espera para los que acompañan a los participantes y para dar servicio de cuidado de niños.

En general, la persona que hace el reclutamiento y el moderador seleccionan a los participantes. La selección se basa en lo siguiente:

1. Elegibilidad;
2. Características diversas;
3. Probabilidad de aportar algo a la plática; y
4. Costumbres idiosincráticos del moderador o cliente.

Deben ser grabadas las discusiones; sería mejor utilizar dos grabadoras en caso de que falle una en el último momento. Hay que inspeccionar el equipo bien antes de que se empiece el grupo para asegurarse de que todo funciona bien.

En nuestro trabajo en los E.E.U.U., Juárez and Associates ha encontrado que los días y las horas más apropiadas para realizar grupos son el martes y el jueves por la noche. El primer grupo generalmente empieza a las seis de la tarde, y el segundo empieza a las ocho de la noche. Los grupos generalmente duran de una hora y media a dos horas. El tiempo ideal es de una hora y cuarto.

En nuestro trabajo en América Latina, Juárez and Associates ha encontrado que los tiempos más apropiados para realizar grupos varían en cada país y región en el país. Por ejemplo, dada la situación política en El Salvador, no es buena idea llevar a cabo grupos por la noche; en Guatemala, grupos con mujeres generalmente funcionan mejor si se realizan por la tarde.

3. Reclutamiento de participantes

El reclutamiento de participantes consiste en tres partes importantes.

Formulario

Contactos

Comunicación

Selección

Formulario

La primera fase durante esta etapa del trabajo es el desarrollo de un formulario que permita hacer una evaluación de las personas para ver si tienen las características necesarias para participar en el grupo. Esto se basa en las principales variables planteadas en los objetivos del estudio. Por ejemplo, en un estudio de actitudes sobre el programa de CAPS, sólo se incluirían becarios o ex-becarios. La idea es formular los criterios basados en los factores que influyen en el comportamiento de aquellas personas en relación a algún producto o servicio.

El formulario proporciona también una manera de organizar las actividades del proceso de reclutamiento. Generalmente, se busca un grupo homogéneo; es decir, se incluyen personas que no hayan participado en un grupo de discusión dentro de los últimos seis meses. Hay que evitar también que familiares o amigos estén dentro del mismo grupo.

Contactos

Si es posible, hay que ponerse en contacto con diferentes grupos que sirvan como fuentes para dar nombres de personas que puedan participar en los grupos. Después de obtener los nombres, hay que ponerse en contacto con cada persona y explicarle el propósito de la llamada o visita. Durante esta conversación, también se aprovecha para preguntar si hay interés de parte de la persona en participar en la sesión. Si hay interés, se administra el formulario para determinar si tienen las características apropiadas.

Al determinar que la persona sí califica, se le invita a

asistir a la sesión y se le da una notificación por escrito que contiene la fecha, la hora, el sitio, un mapa de cómo llegar al lugar, y el nombre de la persona que servirá como contacto para el participante. Es mejor reclutar más personas de que lo que se necesitan para asegurar que lleguen por lo menos siete. Siempre hay varios que no llegarán, o que no califican para participar, o que parecen demasiado tímidos para aportar comentarios durante la sesión.

Comunicación

Si es posible, una semana antes de que se realicen los grupos, se envía una carta o telegrama a todas las personas que han acordado a participar. La carta sirve como recordatorio de la sesión y debe de incluir la fecha, hora y sitio de los grupos y el nombre del contacto. Donde sea posible, también es buena idea llamar a los participantes dos o tres días antes del grupo para recordarles de nuevo que se llevará a cabo el grupo y que la participación de él/ella es importante.

Selección

El reclutador generalmente selecciona a los participantes. Este proceso toma en cuenta que se requiere variabilidad dentro de este grupo homogéneo. Por ejemplo, en el caso del programa de CAPS, se pueden incluir participantes que hayan asistido a algún programa de tres meses de capacitación en Arizona con otros que hayan asistido a un programa de la misma duración en Missouri. ¿Se pudieran incluir personas que hayan asistido a un programa de dos años?

4. Formato del informe

Es importante que, durante las conversaciones iniciales con el cliente, se determine el tipo de informe que él/ella espera. Existen dos formatos para el informe, y generalmente se entrega uno que resume de una manera muy breve los objetivos del estudio y los hallazgos principales. El otro formato trata los temas de una manera más detallada.

Formato A: consiste en un informe breve de los resultados más sobresalientes.

Formato B: consiste en un informe detallado y completo de los resultados de la investigación.

Generalmente, el moderador prepara el informe ya que él/ella entiende mejor lo que ha ocurrido durante los grupos.

5. Número de grupos

El número de grupos depende de los objetivos de la investigación, la incidencia de consumidores del producto o usuarios del servicio, el tiempo disponible para realizar el esfuerzo y el presupuesto. Generalmente se realizan por lo menos dos grupos en cada estudio.

CAPITULO IV

A. Selección del moderador

Un buen moderador requiere capacitación, experiencia, conocimientos de los temas de la plática, intuición sobre la dinámica del grupo y la habilidad de mantener un alto nivel de interacciones entre los participantes. La habilidad más importante del moderador es poder desarrollar una afinidad entre los miembros del grupo para permitir la libre expresión de opiniones. Otras habilidades importantes de un buen moderador son las siguientes:

Ser buen orador

Conocer el comportamiento humano
(psicólogo social; sociólogo; antropólogo)

Sintetizar y transmitir información

Conocer producto, servicio y mercado

Manejo de grupo

Poder desempeñar varios papeles

Inspirar confianza

Para poder desarrollar y mantener una afinidad entre todos, un moderador bien capacitado requiere "presencia" durante la sesión. Es decir, esta persona tiene que estar al tanto de ser amable pero firme, dejar hablar pero controlar a quien hable y analizar los comentarios al momento que se digan.

Es decir, el moderador debe mostrar la amabilidad con firmeza. Para motivar a la participación de todos durante la sesión, un buen moderador necesita mantenerse alejado de la interacción pero al mismo tiempo involucrado en las emociones de los participantes. De esa manera se puede comprender tanto los comentarios que se dan como las emociones que surgen durante la discusión.

También es importante que el moderador deje que los participantes hablen con confianza, uno a la vez, y que preste mucha atención a que no se hagan muchos comentarios fuera de los temas que se estén tratando. Hay que mantener siempre el equilibrio entre dejar que los participantes platiquen y controlar la plática.

Durante la plática, el moderador debe estimular y animar a todos con el fin de que muestren libremente sus sentimientos y reacciones. Hay que estar al tanto de quien habla y quien no hace

comentarios. El moderador debe animar a los más callados con el fin de que participen plenamente en la sesión.

Un buen moderador también debe mostrar flexibilidad. La guía que se usa debe servir simplemente para recordarle de los temas y no para dar una estructura fija a la sesión.

El moderador debe analizar el contenido de los comentarios al momento que se presentan. El propósito es de saber identificar el nivel emocional de la información/respuesta con el fin de distinguir entre lo que el participante piensa y lo que siente en cuanto al tema de discusión.

B. Técnicas para manejar el grupo

Hay un número de estrategias para manejar la sesión con el fin de cubrir los temas y recopilar la información requerida para el estudio. Esta sección del manual presenta algunas de las técnicas. El moderador debe escoger aquellas estrategias que son más apropiadas para el contexto donde se realizarán las sesiones. De esa manera, la estrategias seleccionadas serán más sensibles al grupo cultural con quien se trabaja.

• **Presentación del moderador.** Al empezar la sesión, se presenta el moderador y da una breve explicación de los objetivos del proyecto, la técnica y el procedimiento. Los puntos importantes para tratar son los siguientes:

- Dar la bienvenida y agradecer que hayan asistido todos.
- Presentar al moderador y la empresa. Se debe explicar que el moderador no tiene ningún interés personal en absoluto en el producto bajo discusión. Lo que él/ella desea saber es lo que piensan y cómo se sienten los participantes acerca de los temas que se cubrirán.
- Explicar el propósito del grupo. No se trata de hacer ventas de algún producto o servicio sino de realizar una investigación especializada. También se les informa que se grabará la sesión (si este es el caso) para poder escuchar los comentarios a la hora de escribir el informe.
- Informarles que le interesan las opiniones de ellos. El moderador debe explicar que él hará preguntas solicitando opiniones de ciertos temas y debe hacer énfasis en la idea de que no hay respuestas correctas ni incorrectas ya que se piden opiniones. Simplemente hay distintos puntos de vista.
- Explicar que debe hablar sólo uno a la vez para que todos puedan escuchar los comentarios y dar sus opiniones.

- Finalmente, se les informa que la información que darán será tratada con toda discreción. Ninguno será identificado por nombre y no les pasará nada en el futuro como resultado de su participación en el grupo.

• **Presentación de los participantes.** Se les pide a los participantes que den su primer nombre y que cuenten un poco de sus vidas personales. Por ejemplo, se les pide que digan dónde viven, el estado civil, cuántos son de familia, su edad, etc.

• **La guía.** Después de la presentación del moderador y de los participantes, se abre la sesión con la primer pregunta de la guía. Se utiliza la guía del moderador para mantener la conversación dentro de los objetivos del estudio y para asegurar que todos los temas se tratarán. La siguientes estrategias se utilizan para asegurar que haya flujo de interacción.

Estrategias

Hacer preguntas provocadoras	Indagar, Indagar
Mirada firme	No es prueba
Repetir comentario	Resumir
Incomprensión	Escribir reacción
Buscar consenso	Libre asociación
Buscar contrarios	Frase para terminar
Salir del salón	Jugar papel de otro
Usar audiovisuales	Describir dibujo
Analizar áreas de dificultad	

Hacer preguntas provocadoras. Al preguntar sobre los temas, el moderador puede hacer las preguntas de una manera provocadora para llamar la atención de los participantes y animarlos a responder.

Aprovechar el silencio. Al llegar a un breve silencio durante la sesión, el moderador puede hacer pausa para darles a los participantes tiempo para pensar y reformular sus comentarios. Alguien, sin duda, hablará.

Mantener miradas. El moderador debe mantener siempre una mirada firme. De esta manera, mantiene contacto con los participantes y pide respuesta de alguno, en particular, sin llamarlos por nombre.

Repetir algún comentario. El moderador puede repetir algún comentario y esperar la reacción de los participantes. También se puede repetir el comentario de una manera equivocada para sacar otro tipo de reacciones.

Fingir incomprensión. El moderador puede hacer como que no comprendió el comentario. De esta manera puede pedir una aclaración o ampliación de la respuesta.

Buscar consenso. El moderador puede preguntar si todos están de acuerdo con lo que ha dicho alguna persona. De esta manera se puede determinar el pensamiento en general del grupo. También permite que el moderador tome el rol del "contrario" para determinar el nivel de consenso. Tomar una actitud contraria a lo que se ha dicho sirve para estimular más puntos de vista. Habrá veces cuando se crearán malentendidos en el grupo. El moderador debe presentar información concreta basada en hechos para aclarar estos errores.

El moderador puede salir del salón por unos cuantos minutos. Esto sirve para obtener información espontánea del grupo.

Usar audiovisuales. Muchas veces, especialmente cuando se reúnen grupos de gente de bajos niveles de educación, es importante utilizar audiovisuales. Se necesitan estímulos concretos para facilitar la plática. Cuando se investigan conceptos para publicidad, se requiere el uso de "storyboards", anuncios, o algún otro estímulo concreto.

Indagación. No hay que aceptar ningún comentario sin hacer más interrogaciones. Puede ser que no haya interpretado apropiadamente el comentario del participante. Hay que explorar hasta el concepto más simple y no asumir que todos interpreten el concepto de la misma manera.

Asegurar que no es una prueba. Hay que asegurarles a los participantes constantemente que la sesión no es prueba. Muchos piensan que con tanta pregunta que se hace, la sesión debe ser prueba y sus niveles de ansiedad aumentan. La ansiedad cohibe la participación en la discusión.

Resumir. Una buena estrategia es hacer resumen de los puntos tratados. Esta generalmente se utiliza antes de cambiar de un tema a otro. También se le puede pedir a uno de los participantes que haga el resumen.

Escribir reacciones. Para obtener reacciones no influidas por comentarios de otras personas, se les puede pedir a los participantes que escriban sus reacciones al estímulo y luego se discuten estos comentarios. Para este ejercicio, obviamente, se necesita que la gente pueda leer y escribir.

Libre asociación. Otro ejercicio consiste en pedir que los participantes digan la primer cosa que se les venga a la mente al ver o escuchar algo. Por ejemplo, se les puede preguntar, "¿Cuál palabra se les ocurre cuándo se menciona este producto o servicio?" .

Terminar frase. El moderador les puede dar alguna frase a los participantes para que ellos la terminen. Por ejemplo, se les puede decir, "Terminen esta frase: Me gusta este producto porque _____". También se les puede dar una frase ambigua y pedir que ellos comenten sobre la oración.

"Role-play". Se les puede pedir a los participantes que cuenten lo que ellos piensan que otra persona siente acerca del tema, producto o servicio. Por ejemplo, se les puede preguntar, "¿Cómo piensan Uds. que sus vecinos reaccionarían a este producto?".

Dibujo. El moderador puede distribuir algún dibujo o fotografía y pedirles a los participantes que la categorizen, que la describan o que interpreten la acción.

Analizar. Se les puede pedir a los participantes que identifiquen las áreas más difíciles del tema. Se les puede pedir que identifiquen algún problema relacionado con el producto o servicio y cómo ven ellos la eficacia del producto/servicio en cuanto a solucionar el problema.

CAPITULO V

Resumen

Las investigaciones de mercado generalmente se realizan por empresas u organizaciones interesadas en asegurar que las necesidades de sus consumidores se están satisfaciendo por medio de sus productos/servicios. También se realizan los estudios para proveer información para tomar decisiones.

Es necesario que la información sea recolectada en una manera sistemática para que la decisión que se tome sea una acción razonable. Esta información puede ser recopilada por medio de estudios cuantitativos o cualitativos, dependiendo de los objetivos del estudio, del presupuesto, del tiempo disponible para recoger la información, y otros factores. Un método cualitativo que permite recoger información rápido y de una manera menos costosa es por medio de grupos de discusión.

El grupo de discusión es un tipo de entrevista, sin estructura rígida, dirigida por un moderador, entre un pequeño grupo de individuos que han compartido alguna experiencia o exhiben alguna característica similar.

Se diseña una guía de moderador y un formulario para establecer criterios para la selección de participantes. Estos son basados en los objetivos del estudio. Por medio de una guía, el moderador organiza los temas manteniendo flexibilidad para explorar cualquier asunto imprevisto y de interés para el cliente.

Después de calificar a los participantes, se les informa la fecha, hora y lugar donde se llevará a cabo la reunión. Se contactan los participantes por lo menos una semana antes de la sesión para recordarles la importancia de su presencia. Se reclutan más gente de la que se necesitará por el hecho de que algunos no llegarán, otros no calificarán y otros no serán buenos participantes.

Trabajando con ocho a diez personas por grupo, el moderador guía la discusión por medio de varias estrategias hacia el cumplimiento de los objetivos del estudio. Después se elabora un breve informe sobre los puntos más sobresalientes de la discusión.

Appendix B: Moderator Guide
Journalists

Guía de moderador

I. Introducción (5 - 8 minutos)

- A. Presentar al moderador, empresa, propósito del grupo, y explicar un poco acerca del procedimiento. Se solicitarán opiniones y en opiniones todas no hay correctas o incorrectas.
- B. Presentación de los participantes: Solicitar que den Nombre, dónde trabajan, cuánto tiempo tienen de trabajar allí, y si les gusta su trabajo.

II. Temas (45 minutos)

A. Orientación

CURSO DE INGLES: ¿Uds. tomaron un curso de inglés. ¿Cómo se llevó a cabo el curso? ¿Cuánto tiempo duró? ¿Quién o qué tipo de profesional se los brindó? ¿Qué temas y qué tipo de metodología se utilizó? ¿Quedaron satisfechos con el curso? (Sondear: Cuáles aspectos? Cuáles no?)

CURSO DE CULTURA: Uds. recibieron un curso de cultura. ¿Cómo se llevó a cabo el curso? ¿Cuánto tiempo duró? ¿Quién o qué tipo de profesional se los brindó? ¿Qué temas y qué tipo de metodología se utilizó? ¿Quedaron satisfechos con el curso? (Sondear: porque sí o no.)

B. Capacitación

LOGISTICA: ¿Qué podrían Uds. comentar sobre la coor-dinación? Es decir, ¿que me pueden platicar sobre el viaje? ¿Sobre los servicios que se les dieron?
¿Sobre el recibimiento en el lugar donde llegaron?
¿Sobre las condiciones en el lugar del hospedaje?
En general, ¿dirían Uds. que actuaron con naturalidad o se sentían cohibidos? ¿Por que?
¿Cómo se podría mejorar la logística?

* FINANCIAMIENTO: ¿Qué opinan/consideran de la cantidad de fondos que se les dieron? ¿Fueron suficientes para cubrir las necesidades básicas? ¿Por qué dicen eso?

* CONTRATISTA: ¿Qué opinan de los servicios del contratista? ¿Qué fue el resultado de los servicios?

INFORMACION TECNICA: ¿Me pueden platicar brevemente las actividades que se realizaron durante el proyecto de capacitación? ¿Dónde fueron? ¿Qué hicieron? ¿Hicieron visitas a organizaciones? Cómo les fue? (Sondear: cuántos viajes; suficiente o demasiado)
¿Realizaron proyectos individuales? ¿Cómo les fue? ¿Qué opinan de estas actividades?

¿Quiénes les dieron la capacitación? ¿Qué técnicas utilizaron? ¿Cómo describirían la información que se les dió? ¿Por qué dicen eso? (Sondear: Nivel de instrucción; nueva información) ¿Qué fue lo más útil que recibieron en cuanto a la instrucción? ¿Qué no fue útil?

¿Qué fueron los objetivos del proyecto de capacitación? ¿Hubo otros? ¿Uds. tenían objetivos personales que querían lograr por medio del proyecto? ¿Cuáles eran éstos? ¿Consideran que estos objetivos personales estaban dentro de los objetivos del proyecto?

Creo que Uds. estuvieron en (Texas Southern???). ¿Me pueden platicar un poco de lo que hicieron allí? ¿Qué les pareció esa experiencia? ¿Qué sobresale de su estadilla allí?

¿Hicieron contactos con periodistas de los EEUU? ¿Con quienes más?

ORGANIZACION: ¿Cómo utilizaron el tiempo con sus compañeros? ¿Hubo problemas? ¿Cómo se resolvieron?

EXPECTATIVAS VS EXPERIENCIA: ¿Qué expectativas tenían Uds. del programa? ¿De dónde surgieron estas expectativas? ¿Cómo se comparan las expectativas a las experiencias que tuvieron? (Sondear: Por qué?)

OBLIGACION SOCIAL: Han recibido capacitación sobre periodismo. ¿Qué actividades han realizado como resultado de esa capacitación? ¿Qué actividades piensan hacer? ¿Cómo beneficia la capacitación a sus comunidades o colegas en su trabajo? ¿Debe de haber beneficios para ellos? ¿Hay obstáculos para la implementación lo que han aprendido?

OTROS TEMAS: ¿Hay otros temas importantes y que no hemos tratado?

III. Agradecerles la participación y regresar control de las actividades a MHB. (5 minutos)

Orientación: Maestros de inglés
Guía de moderador

I. Introducción (5 - 8 minutos)

- A. Presentar al moderador, empresa, propósito del grupo, y explicar un poco acerca del procedimiento. Se solicitarán opiniones y en opiniones todas no hay correctas o incorrectas; queremos escuchar a todos pero que hable solo uno a la vez.
- B. Presentación de los participantes: Solicitar que den Nombre, dónde trabajan, cuánto tiempo tienen de trabajar allí, y cuántos niños enseñan.

II. Temas (45 minutos)

A. Idioma

Nivel de INGLÉS: Uds. tienen conocimientos de inglés. ¿Cómo describirían el nivel de conocimiento? Regular? Mejor que regular? Mucho conocimiento? (Sondear: Cuáles aspectos califican como mejores? Cuáles no?)

B. Capacitación

LOGISTICA: ¿Qué podrían Uds. comentar sobre donde irán en los EEUU? Es decir, ¿cómo llegarán? ¿Para dónde irán primero? ¿Qué van a hacer allí? ¿A qué otros sitios irán? ¿Qué serán las condiciones en el lugar del hospedaje?

FINANCIAMIENTO: ¿Qué opinan/consideran de la cantidad de fondos que se les darán? ¿Será suficiente para cubrir las necesidades básicas? ¿Por qué dicen eso?

CONTRATISTA: ¿Quiénes son los contratistas? ¿Es el mismo contratista para cada lugar?

INFORMACION TECNICA: El martes platicaron un poco del programa técnico que recibirán. ¿Me pueden platicar brevemente las actividades que se realizarán durante el proyecto de capacitación? ¿Qué van a hacer?

¿Realizarán proyectos individuales? ¿De qué tipo? ¿Qué opinan de estas actividades? ¿Son realistas?

¿Qué técnicas aprenderán? ¿Con quienes trabajarán?
¿Uds. tienen objetivos personales que quieren lograr por medio del proyecto? ¿Cuáles son éstos? ¿Consideran que estos objetivos personales están dentro de los objetivos del proyecto?

EXPECTATIVAS VS EXPERIENCIA: ¿Qué expectativas tienen Uds. del programa? ¿De dónde surgieron estas expectativas? ¿Consideran Uds. que se pueden lograr las expectativas? (Sondear: Por qué?)

OBLIGACION SOCIAL: ¿Qué actividades podrán realizar como resultado de esta capacitación? ¿Qué actividades piensan hacer? ¿Cómo beneficiará la capacitación a sus comunidades o colegas en su trabajo? ¿Debe haber beneficios para ellos? ¿Habrán obstáculos para la implementación lo que han aprendido?

CULTURA NORTEAMERICANA: ¿Qué imagen tenían Uds. de los Norteamericanos antes de asistir a esta orientación? ¿En qué basaban sus pensamientos? ¿Qué imagen tienen ahora? ¿Por qué cambió o no cambió?

OTROS TEMAS: ¿Hay otros temas importantes y que no hemos tratado?

III. Agradecerles la participación y regresar control de las actividades a MHB. (5 minutos)

Appendix C: Sample Topline Report

SHORT-TERM SCHOLARS: JOURNALISTS
Costa Rica CAPS Evaluation

Sample Topline Report

Prepared for:

Dr. David Losk,
Chief
Training Division
USAID/Costa Rica
San Jose, Costa Rica

Prepared by:

Regino Chávez
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Juárez and Associates
12139 National Blvd.
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October 31, 1989

Sample Topline Report

SHORT-TERM SCHOLARS: JOURNALISTS Costa Rica CAPS Evaluation

I. Introduction

During October, 1989, Juárez and Associates (J&A) of Los Angeles, California was contracted to carry out two focus groups with journalists who had participated in a short-term CAPS training program in the United States. The purpose of the groups was to obtain information from the ex-scholars on the following topics:

- the usefulness of the English training course received prior to leaving for the states;
- the usefulness of the cultural training course received prior to leaving for the states;
- their impressions of the coordination, the quality of instruction, and expectations of the training program.

To meet that objective, J&A conducted two groups in the USAID/Costa Rica mission offices on October 31, 1989. The following topline report presents the major findings of the groups.

Sample

Group I consisted of ten (10) broadcast journalists who had attended an eight week training session in the states. The group consisted of six males and four females. Several were radio broadcasters while others worked in the television news industry. Work experience ranged from 1½ years to 9 years on their jobs.

Group II was a mini-group of three print journalists. This was also a mixed gender group with two males and one female. All worked on newspapers with one older male publishing his own alternative newspaper.

II. Findings

A. English-language Course

- Both groups found the course useful although too short.

Both groups received brief English language training before leaving for the United States. Group I participants indicated that they had received a two-week training course while those in Group II stated that theirs had been a one-week course. The latter indicated that the one-week course had been too short given that they also had had a number of other tasks to carry out during that same week. Both groups, however, indicated that the course had met its objective of providing them with basic English to allow them to fend for themselves. Group I participants indicated that they had received some "basic elements to defend oneself" ("elementos básicos para defenderse"). These also indicated that they were provided with translators while in the states, thus not making use of the knowledge learned through the course. Group II participants also indicated that the course had been useful although they had still needed much more training ("nos sirvió de mucho, pero faltó mucho también").

B. Cultural Training Course

- Both groups indicated that the course created stereotypes of Americans.

The participants in both groups indicated that the cultural training created stereotypes of Americans as cold, time-oriented, etc. Also, a Group II participant indicated that they were given information that did not apply to the locations where they were to be trained. As an example, he cited the case of their living with Latino families in Texas. During the course, Latinos had not been mentioned within the discussions of American culture. They encountered a distinct reality than that provided through the training course ("Los patrones de comportamiento que nos dieron no resultaron ciertos, en la realidad"). In reality, they found that Americans are warm, friendly and not as concerned about time as they were led to believe. The participants stated that although there was a need for such training, the information provided ought to be presented at a more general level to avoid the creation of these stereotypes. They indicated that the most useful information had been provided during the Washington, D.C. training sessions where they were taught to read maps and given assignments to complete based on lessons taught. Although no consensus emerged from the groups, some participants felt that cultural impressions

are best left to being acquired through experience rather than through lectures.

C. Training Program: Coordination

- Group I described the logistical aspect of their training program as disastrous while Group II reported that theirs was fine although quite harried given the number of trips they had to make.
- For the most part, the participants had a positive experience with their host families.

Both groups indicated that they made a number of trips while in the United States. All visited Washington D.C. where they received another cultural awareness course. They also spent time in Texas, New York and again in Washington. Group I participants indicated that problems in coordination arose as a result of the number of subcontractors involved with their training program. Their biggest complaint was that they were booked on nonexistent flights from Miami to Washington, D.C. As a consequence, they had to scramble around the airport to arrange for flights on their own. Fortunately, one member of the group had sufficient English language capabilities to make the arrangements. They were also lucky enough to find a Piedmont Airlines employee to assist them.

The ex-scholars also complained about the coordination of the site visits. They reported that in some instances they were forced to travel to sites on the same day when they had arrived in a town. This, they added, was too exhausting. Also, they noted that it appeared that some tours were too hastily arranged as there was no one around to talk with them given that crew, especially broadcast crews, were too busy carrying out their work during peak times.

Participants were provided with opportunities to visit with American families. Most in both groups indicated that their visits had been positive experiences. In fact, lasting contacts made with Americans were more inclined to be those made with families. Only two indicated that they had made professional contacts which they still maintained. Those that did have problems with families were quick to point out the liberal politics of the families as if this aspect of the interaction was the source of tension.

Tensions within the group itself did arise, according to the participants. However, they described these as normal problems that emerge whenever people spend too intense a period of time together. Group I participants indicated that a gender-based division took place in the group; most, however, discounted the

division as of little importance in the overall interactions of the group members. Group II participants stated that some irritating moments did emerge and characterized these as normal. Neither group thought that future groups could be forewarned of the types of problems that could arise and how to address them.

D. Training Program: Technical Program

- Both groups were quite satisfied with the orientation they received in Washington D.C., and considered the knowledge gained as practical.
- Participants described the technical aspects of the training program as deficient as little, if any, new knowledge or skills were gained.
- Participants recommended that for future groups of journalists, more time be dedicated to academic settings such as UT, Austin or North Texas State in Denton where they could receive academic training in their fields.

Both groups were quite satisfied with the training provided in Washington, D.C. They described the training as extremely useful as they gained practical knowledge and felt prepared to venture into the city. ("Se dieron cursos de preparación -- lo bueno, lo malo, lo lindo, lo feo, manejo de mapas, manejo de trenes...Se nos preparó").

Participants indicated that they had visited Texas given the existence of two of the best communications schools in that state. Expectations were created based on the objectives of the program that they were to receive academic training as well as practical experience in working with professionals in their respective fields. In actuality, they were taken on a number of tours, attended a number of discussions and visited with a number of people of little value for their profession. They had expected to be working directly with journalists on their daily tasks. Instead they found themselves touring facilities where they felt in the way, where equipment was less modern than that used in their country, and where the technology (satellite) was much more advanced thus, inappropriate for Costa Rica.

The print journalists, additionally, were given an individual project to complete. They found that the human resources assigned to them were not available and that, for the majority, the sites where they were sent were not appropriate for the subject matter of their individual projects. One journalist related the experience of conducting her project describing how she had travelled on her own to distant sites, had found people to

Sample Topline Report

interview on her own, and managed to find resources on her own and viewed the lack of assistance as a hindrance. She failed to see her own resourcefulness while operating in a foreign land and with limited English-language capabilities.

Overall, the journalists characterized the technical aspect of their training as too loose ("flojo"). Additionally, except for two individuals in Group I and another two in Group II, the participants indicated that they had learned nothing new from the technical training. They sensed that because of the number of subcontracts, little information on their needs was provided to their coordinators. As a consequence, they felt that they were treated like students and not like professionals. What they had sought was to work with the journalists ("...trabajar directo, integrarse al proceso. Salir con el periodista"). They suggested that in the future, more time be spent in the academic settings and that more time be devoted to actually working jointly with the American counterparts ("Debe haber un trabajo conjunto").

In closing, both groups expressed positive feelings about their experience and praised the cultural training in Washington, D.C. as well as the visits to homes and different locales for providing them with a cultural sensitivity to the United States and its people. Group I participants added that their gripes with the technical aspects of the program should not be interpreted as utter dissatisfaction with the experience as, overall, they had considered it quite valuable ("En la parte cultural, se aprendió muchísimo--tuvo mucho más éxitos...En este aspecto fue riquísimo").

III. Conclusions

Two focus groups with ex-CAPS scholars were conducted for USAID/Costa Rica during October, 1989. One group consisted of broadcast journalists who had attended an eight week training course in the United States; the other was a mini-group with print journalists. Both groups were mixed male-female. The objective of the research was to obtain impressions from the ex-scholars on the usefulness of the English training course provided in Costa Rica, the utility of the cultural training course and their perceptions of the technical aspects of the overall program.

It was found that the participants viewed the English training course as satisfactory as it provided them with a language for survival. Findings also indicate that the participants saw the cultural training course provided through the Mission as contributing to the creation of stereotypes. It may be though that they were merely sensitized to existing stereotypes and only through interacting with U.S. inhabitants can these images be changed. Participants found the training provided in Washington,

Sample Topline Report

D.C. positive as it provided very practical information related to their mobility in the city. Overall, they also viewed the exposure to the distinct cultural groups as enriching and useful for their particular professions.

The technical training, however, was viewed in a less positive light. Participants complained of a lack of coordination as evidenced by their problems with the flights, their having too many tours and sometimes too improvised, and their lack of adequate time in academic settings or working with American journalists.

It seems that the participants were dissatisfied with those aspects of the programs where expectations did not match reality. They stated that the English language course was designed to provide them with survival skills. This was very clear in their minds. Thus, expectations and reality were on the same level. However, they were frustrated with the technical aspect of the training program because they could not work alongside their American colleagues, work with the latest equipment nor spend adequate time in top-knotch academic settings of vital interest to them and that were perceived to be accessible (schools of communication in Austin and Denton, Texas). Thus, the reality of their experience did not come close to matching their expectations. It may be prudent for the Mission, then, to carefully monitor its Orientation to determine how participants expectations are created, identify their expectations, and conduct sessions to correct any misconceptions participants may have before they leave for the U.S.

Appendix D: Sample Observer's Notes

EJEMPLO DE NOTAS DEL OBSERVADOR

GRUPO I: NOTAS

Orientación

Curso de inglés

"Se dieron elementos básicos para defenderse."

Lo considera práctico pues era inglés para sobrevivir.

Si bien fue beneficioso, no lo puso en práctica por la presencia del traductor. Se llamaba al traductor y entonces no se practicaba. El traductor estaba bien pero debe de dar más libertad, más independencia.

"De algo nos sirvió; tuvimos la oportunidad de practicarlo especialmente cuando estuvimos con la familia..."

La familia le asignaba tareas a uno y le daba clases de inglés.

"Para el objetivo, estuvo bien pues nos supimos defender". Se les dijo, "no les vamos a enseñar a hablar inglés sólo a pedir las cosas básicas". En esto estuvo bien. "El propósito se logró."

GRUPO II

Orientación

Curso de inglés

El curso no cumplió con el objetivo mismo.

(¿Cuál fue el objetivo?)

"Supénemos..."

Hubo desface, mucha preocupación pues fue en la misma semana que nos íbamos. Demasiadas actividades en la misma semana.

"Nos sirvió de mucho, pero faltó mucho también."

Demasiado corto y muchas otras tareas que realizar al mismo tiempo (estudiar, hacer gestiones de pasaporte,...).

Appendix E: Training Agenda

CAPACITACION: GRUPOS DE DISCUSION

Por: Regino Chávez, Director de Mercadeo
Lic. Elsa Sánchez Fuentes

Lunes, 6 de noviembre, 1989

10:00 - 11:30	Introducción a investigación de mercadeo
	Métodos cualitativos
	Grupos de discusión
	Componentes de la técnica
	Resumen y preguntas
1:30 - 3:00	Estrategias para moderar
	Ejercicio en elaboración de guía
	Resumen y preguntas

Appendix F: Training Topic Outline

Capacitación: Grupo de discusión

Introducción

- 1.1 Importancia de investigación del mercado: apoyar decisiones administrativas y para entender y cumplir con las necesidades de consumidores o usuarios de servicios.
- 1.2 Definición de investigación de mercado: Un proceso con el cual una organización puede especificar, recopilar, analizar e interpretar información en una manera sistemática. Sirve para comprender
 - El medio ambiente
 - Identificar problemas y oportunidades
 - Desarrollar y evaluar plan administrativo
- 1.3 Enfoque es identificar las percepciones del consumidor acerca de algún producto o servicio; se exploran aspectos del producto/servicio, aspectos de la competencia, problemas de distribución, precios, etc. También se toma en cuenta el medioambiente- aspecto socio-político/cultural
- 1.4 Organizaciones del sector público también están utilizando métodos del mercadeo principalmente para
 - Identificar necesidades de sus usuarios
 - Identificar obstáculos a proveer servicios
 - Determinar la manera más eficaz de informar sobre servicios
- 1.5 Para realizar una investigación se fijan objetivos específicos y se formula una estrategia para realizar el estudio. El objetivo puede ser
 - Exploratorio (no hay información)
 - Descriptivo (obtener más información)
 - Causal (determinar causas del asunto)
- 1.6 Se pueden utilizar métodos cuantitativos o cualitativos dependiendo de los objetivos. También depende del tiempo disponible, presupuesto, y otros factores. Generalmente, se usan métodos cualitativos para fines de exploración.
- 1.7 Métodos cualitativos se definen como un tipo de investigación formativa que ofrece técnicas especializadas para obtener información de fondo sobre lo que gente piensa o sienta acerca de algún tema. Se puede obtener información sobre :

- Actividades del consumidor (comportamiento)
- Aclaración de algún problema (conocimiento, actitudes o creencias)
- Motivos
- Características del consumidor/usuario

1.8 Comparación de métodos cualitativos y cuantitativos

<u>Cualitativos</u>	<u>Cuantitativo</u>
Información de fondo	Medición
Emoción o Contexto	Objetivo
El "¿Por qué?"	El "¿Cuántos?"
Interpretación	Prueba
Muestra pequeña	Descriptivo
No hay conclusiones	Muestra de probabilidad
	Conclusiones

1.9 Por que utilizar métodos cualitativos:

- Más oportunidad para obtener respuestas de fondo y más comprensión
- Permite ligar varios aspectos de comportamiento relacionados con decisiones o acciones que toma el usuario: EJ. Descubrir como se hace la decisión de utilizar ORS - explorar punto de venta, producto, precio, etc. (Permite explorar todo el proceso)
- Menos costoso, menos tiempo, flexible, relación directa con el usuario, y se puede llevar a cabo donde sea sin tecnología avanzada.

1.10 Métodos cualitativos incluyen: ENTREVISTAS INDIVIDUALES, OBSERVACIONES, y GRUPOS DE DISCUSION

Grupos de discusión

2.0 Importancia del contacto con el cliente:

- Descubrir los estereotipos del cliente acerca de su consumidor.
- Identificar los aspectos de más importancia en cuanto el objetivo
- Comunicar la información en manera neutral
- Educar al cliente sobre usuario o técnica

2.1 Definción de grupo de discusión: Un tipo de entrevista, sin estructura rígida, dirigida por un moderador, entre un pequeño grupo de individuos que han compartido alguna experiencia o tienen alguna característica en comun.

- Propósito: Que los usuario/no usuarios hablen libremente y con confianza de sus sentimientos sobre temas relacionados al producto
- Grupo de 7 a 10 personas. Tamaño varea dependiendo de las preferencias del moderador, de lo complejo del tema, y del nivel de habilidad de los participantes.

2.2 Usos de grupo de discusión:

- Formular hipótesis para pruebas cuantitativas
- Obtener impresiones sobre nuevos productos/servicios
- Estimular ideas para nuevos usos
- Formular nuevas ideas para publicidad
- Interpretar resultados de estudios

No usar para generalizar- NO ES MUESTRA REPRESENTATIVA. MUY PEQUENA.

2.3 Ventajas del método:

Sinergismo: más oportunidad para más ideas
Reacción en cadena: respuesta lanza una cadena de respuestas
Estímulo: se emocionan y desean participar
Seguridad: en escuchar similitudes de opiniones hay confort
Espontaneidad: respuestas menos cohibidas
Casualidad: respuesta útil sale imprevista
Expecialización: moderador más capacitado que entrevistador
Examen a fondo: más observadores, más examen del proceso
Estructura: más flexibilidad para explorar el tema
Rapidez: recopilación y análisis de datos con más rapidez

2.4. Tipos de Grupos:

- Explorar: Descubrir el posible rango de actitudes o de comportamiento del consumidor; descubrir el rango de usos de producto.
- Motivar: Comprender el "Por qué". Descubrir que motiva formación de actitudes o comportamiento
- Crear: Desarrollar nueva información, ideas, perspectivas, actitudes, de productos

Componentes de la técnica

3.0 Resumen del concepto: Discusión programada y realizada en manera sistemática por un moderador con pequeño grupo que comparte experiencia o característica.

3.1 Guía del moderador: se formula una lista de temas o preguntas que se tratarán durante la discusión; basado en

- Objetivos del estudio
- Conocimientos del moderador
- Conocimiento de áreas de interés para el cliente

- Esbozo flexible que permite organizar el pensamiento y recordar temas
- Organiza la información de general a lo más específico
- Es probable que se cambie después de cada grupo

3.2 Sitios: Sitio dentro de la comunidad de donde vienen los participantes. Sitio donde se sientan cómodos.

- Sala con suficientes sillas.
- Aislamiento (Privacy)
- Fácil de escuchar
- No amenazante (sitios oficiales- mas probable obtener respuestas "deseadas")
- Sitio que permita observador sin afectar el ambiente

3.3 Tiempos: mujeres por la tarde; hombres por la noche. Evaluar situación política, E.J. El Salvador - no grupos por la noche.

3.4 Reclutamiento:

- Formulario: plantea los criterios de selección: clase social, ciclo de vida, usuarios, nivel de conocimiento, edad/estado civil, grupo cultural, sexo
- Contactos: identificar fuentes para reclutamiento/grupos de la comunidad
- Comunicación: carta o telegrama de recordatorio
- Selección: moderador con reclutador seleccionan. Se busca variedad dentro del grupo homogéneo

3.5 Número de grupos: depende en los objetivos del estudio. Generalmente, se hacen dos grupos por cada variable si se piensa que hay diferencias grandes en comportamiento o actitud entre cada segmento (sexo, edad, etc.).

3.6 Informe: Se escribe informe presentando hallazgos

Formato A: Informe breve de los resultados más sobresalientes

Formato B: Informe detallado y completo de hallazgos

Estrategias para moderar un grupo

4.0 Hay varios enfoques en estilos de moderar un grupo:

- Estilo directivo: preguntas específicas y se limita el rango de respuestas (¿Qué le gustó de _____?)
- Estilo no-directivo: preguntas abiertas y sin prejuicios (Qué fue su primer reacción a _____?).
- Grupo Estructurado: donde el moderador utiliza un guía
- Grupo no-estructurado: participantes y el flujo determinan el contenido del grupo (casi no se usa)

MEJOR: El uso de la combinación de estilo no-directivo, y grupo estructurado para llegar a un enfoque de semi-estructura.

4.1 Características del moderador: capacitación, conocimientos del tema, y conocimientos de la dinámica de grupos.

- Conocer comportamiento humano
- Balancear amabilidad y firmeza
- Crear afinidad
- Presencia y distancia: analizar, sintetizar, y controlar
- Flexible para seguir temas introducidos y de importancia

4.2 El grupo

- Introducción: presentación del moderador, solicitan opiniones (no hay correctas), no ofender si hay comentarios negativos, propósitos del grupo y procedimientos
- Presentación de participantes
- Discusión de temas
- Clausura: resumen de temas, sondear si hay otros de importancia, y agradecer la participación

4.3 Estrategias de moderación (PP. 14-16)

Análisis de datos

5.0 Después de cada grupo, se debe revisar la grabación para asegurar que funcionó la máquina.

- Reunirse con el observador para reconstruir la discusión, comparar notas y compartir observaciones
- Se debe escribir comentarios de tipo resumen

5.1 Procedimiento de análisis

- Leer todos los resúmenes de una vez y hacer notas sobre los patrones y tendencias
- Leer las transcripciones de las cintas, y marcar las secciones donde se observan tendencias y para identificar buenas cotizaciones o citas
- Leer las transcripciones o las notas enfocándose en un tema a la vez;
 - Escriba una oración de resumen sobre el tema
 - Identifique patrones en todos los grupos
 - Identifique patrones que se relacionan con subgrupos (mujeres, jóvenes, no-usuarios, etc.)
- Considere las palabras: actual vs. significado; contar las palabras más utilizadas; agrupar conceptos similares; analice los conceptos en un continuum.
- Identifique el contexto: ¿qué fue lo que causó la reacción (se refiere la respuesta a la pregunta o a un comentario que otro hizo?)
 - This was GOOD!
 - This was GOOD?
 - THIS was good.
 - This WAS good.
- Busque el origen de algún comentario. Estos varían durante la misma discusión. Hay que buscar porque cambió.
- Busque comentarios que se basan en experiencia más que en lo impersonal. "I feel it is good because I have used it...." vs. "These are good and people should...."
- Identifique los conceptos más prioritarios/importantes
- Considere los gestos de las personas al analizar los comentarios.