Training as a Development Tool

Cecilia Otero

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TRAINING AS A DEVELOPMENT TOOL

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ACRONYMS

ADR	Alternative Dispute Resolution
ADS	Automated Directives System
AOJ	Administration of Justice
CLASP	Caribbean and Latin American Scholarship Program
GTD	Global Training for Development
HERNS	Human and Educational Resources Network Support
HCD	Human Capacity Development
HR	Human Resources
HRD	Human Resource Development
IR	Intermediate Results
M&E	Monitoring and Evaluation
NGO	Nongovernmental Organization
NIS	Newly Independent States
NPR	National Performance Review
PDF	Participant Data Form
PIO/P	Project Implemenation Order/Participant
PTMS	Participant Training Management System
PVO	Private Voluntary Organization
SKA	Skills, Knowledge, Attitudes
SO	Strategic Objective
USAID	United States Agency for International Development
READ	Reaching Out with Education to Adults in Development

TABLES

Introduction

In 1993 President Clinton created the National Performance Review (NPR) to reform the practices and procedures employed by the federal government. With Vice President Gore as its leader, the NPR initiative led to the Government Performance and Results Act of 1993, which requires federal agencies to develop strategic plans, prepare annual performance plans, and submit performance reviews. The United States Agency for International Development (USAID) was selected as a "Reinvention Laboratory" within NPR's initiatives.

Following this mandate, in September 1995, USAID Administrator Brian Atwood approved the *Agency's Strategic Framework and Indicators, 1995-1996*. This document articulates the guiding criteria and principles that the Agency must follow to reengineer its systems. It provides a graphic explanation of the Agency's goals and objectives drawn from the strategies for sustainable development—protecting the environment, building democracy, encouraging broad-based economic growth, stabilizing world population growth, and providing humanitarian assistance. The framework is used to review Missions' programs, assist operating units in linking their activities to Agency goals, assess the Agency's performance, and enhance its ability to manage for results.

In the light of this directive, the Agency has reassessed the role of training in the context of reengineered systems, i.e., to expand the function of training beyond individual achievement to organizational improvement. This task involves a significant shift from past training practices and requires developing appropriate design, implementation, and evaluation tools to integrate training programs strategically in support of other activities.

The purpose of this study is to examine how reengineering concepts and principles apply to the training function and to provide trainers with approaches, ideas, and strategies to design quality integrated programs, as well as monitor and measure results. Five case studies representing different sector areas—economic growth, democracy and governance, health, education, and training—are also included as examples of reengineered training designs.

Highlights

This study is primarily intended to serve as a guide to USAID strategic objective (SO) teams and training specialists as they confront the challenge of applying reengineering concepts and integrating training activities into Missions' strategic objectives. Its aim is to assist field training staff in clarifying their function within SO teams; reiterate the crucial role they play in demonstrating the link between training and strategic objectives; and examine useful techniques and strategies that they can adapt to their own programs.

The *Best Practices* modules developed by the Human Resource Development Assistance Project provide a detailed explanation, with a wide array of examples and illustrations, of the major components and activities that comprise strategic training. Thus, this paper focuses primarily on three topics: a discussion of training evaluation models, mechanisms for developing training indicators as well as monitoring and measurement tools, and sector case studies presented as examples of innovative training programs designed strategically. Every effort was made in discussing each of these topics to bridge the gap between the theoretical concepts stated in the reengineering initiatives and the reality experienced by those charged with the implementation of reengineered training systems.

The first part of the study entitled *Theory* comprises four sections:

Training in a Reengineered Context provides a definition of training impact and briefly discusses how reengineering guidelines affect each of the components of training. A table contrasting concepts and practices under traditional and reengineered training is also provided, as well as a brief discussion on how the Agency core values apply to training systems.

Evaluation Models synthesizes three commonly used training evaluation models developed by Donald Kirkpatrick, Robert Brinkerhoff, and the USAID-funded HERNS project.

Training Indicators offers a general discussion of indicators and provides strategies and recommendations for developing training indicators.

Additional Monitoring and Measurement Tools includes tools and mechanisms to isolate the effect of training on performance improvement and calculate results in financial terms.

The second part of the study, *Practice*, presents five case studies of integrated training programs designed strategically in support of other activities—economic growth, democracy and governance, health, education, and training. The aim is to illustrate how reengineering concepts and approaches are being applied in various sectors and avail training specialists of the experiences and expertise of others. A discussion of training results is also presented, as well as a description of *TraiNet*, a database system designed to record and report training activities and results.

Methodology

This study was prepared as a response to a request from USAID's Center for Human Capacity Development of the Global Bureau to identify training case studies and develop monitoring and evaluation tools. The research involved a review of key documents dealing with USAID reengineering concepts and practices; a review of major evaluations of USAID-sponsored participant training programs; consultation with several training and evaluation specialists; and searches in education\training databases and Internet web pages.

The case studies were prepared with the assistance of the training officers in the respective Missions or their training contractors who provided the data and approved the final versions. While the extensive interaction with these individuals was a most rewarding experience, it was extremely time-consuming and not an efficient way of identifying and collecting the information required. Prior to the transition from project-level activity to strategic objectives, a significant amount of information related to projects and documents could be retrieved through the USAID bibliographic database. Activities implemented under reengineering no longer have an identifier, i.e., project number, and most of the information generated remains in the field. To address this situation, G/HCD has developed an Agency-wide information system, *The Training Results and Information Network, TraiNet,* to be used by field or stateside training staff. It provides a standard mechanism for consistent data input and collection that responds to reengineering guidelines. We must underscore the importance of updating and maintaining this database on a regular basis as it will become the central repository for USAID training-related information. (See last section, *Documenting Training Practices,* for a more detailed explanation of *TraiNet*).

Training in a Reengineered Context

The United States Agency for International Development has long held the belief that developing the human resource base of countries is a critical element in promoting sustainable development. The variety and richness of training programs funded since the early 1960s throughout the world attests to this belief. Stated in general terms, the overriding purpose of these programs was to upgrade the skills and knowledge of participants who were selected based on their personal merit or leadership potential. An effort was made to promote the participation of women, indigenous peoples, and other disadvantaged groups.

Through these programs, effective and useful methodologies and evaluation tools were developed and refined. The lessons and guidance they provide prepared the groundwork for the design and implementation of strategic programs and allowed training specialists to formulate agency-wide norms. Thus, as we discuss strategic training, we should emphasize that we are not discarding many of the important and necessary elements developed in the traditional training methodologies. In a reengineered Agency, "We must enhance the traditional approach by shifting our emphasis to a results-oriented approach to training." (Best Practices: 3)

The concepts and initiatives set forth by reengineering have reshaped the way the Agency approaches and views development work. The Strategic Framework mandates that all country activities show linkage to SOs and to Agency goals and objectives. For the training function, this means that plans must be linked to technical activities of results packages. Thus, reengineering has forced training to become more rigorous in responding to customer needs, selecting participants, and measuring results. Its outcome will no longer be measured in terms of number of people trained or their satisfaction with the training they received but on how the training activity contributes to performance improvement and supports technical assistance programs.

Definition of Training Impact

In redefining the role of training, the focus is on the functions, rather than the person, and one must be prepared to address a totally different set of issues, such as: How did the investment in training contribute to specific program outcomes or strategic goals? What linkages can be established between training and the achievement of USAID’s strategies? And what are the implications of these linkages in the approach to training?

The definition that we ascribe to training impact in a reengineered context must reflect the new concepts being formulated. It will guide the principles and approaches we must follow in a results-oriented training system and determine how all other aspects of the training process are planned and managed from selection to evaluation. The forthcoming update of the ADS 253 (Automated Directives System) provides a definition of training impact that focuses on a functional approach:

> [For the purposes of USAID-sponsored training], **training impact** is defined as the improvement in individual job or organizational performance that can be directly attributed to the skills, knowledge, and attitudes acquired during training.

Training professionals could argue that this definition is a restrictive, narrow one and excludes the widely accepted notion that the purpose of training is to transfer knowledge. This may well be a valid statement depending on the objectives of the training. However, if we are to view training as a development tool used to achieve a strategic objective, we can no longer use the concept of upgrading skills or imparting knowledge as the sole criterion for assessing its impact or concluding that the training was a success. We must look beyond the individual attainment and be able to assess, in quantifiable terms, how the investment in training contributed to specific program outcomes. Thus, embedded in this definition is the concept that training does not have an impact until the skills or knowledge acquired have been successfully applied in a specified work situation and have resulted in a measurable improvement.

Application of Results-Oriented Framework to Training Systems

In *The Learning Alliance*, Robert Brinkerhoff asks the key question: "How will the training design result in knowledge and behavior that lead to performance improvement that achieves the goals of the organization?" The issues raised in this question, as well as in the definition of training impact, illustrate the interconnection among the various components of a training program. There is a sequential progression: Each phase builds on the previous one and influences the decisions taken at the next level. Let us then briefly examine the implications of these concepts at each of the phases of the training continuum, from needs assessment and selection to evaluation.[1]

Under strategic training, a problem or need that is linked to a performance gap is identified. We analyze the organizational context in which the job will be performed, which will determine the skills that the employee needs to acquire or strengthen. A well thought out, carefully executed analysis at the initial planning stages will lead to the formulation of clear training objectives. If the objectives are not well articulated, the training design will not contribute to an intermediate result, nor address the needs of the customer. This analysis will guide the decisions that need to be made at each of the subsequent phases of the training program.

"Training—if well designed, implemented, applied, and transferred—can be an effective tool, whether used for an academic institution, an NGO, a community group, or a government institution."

USAID/El Salvador

The individuals selected to receive training are those who will perform the jobs that

[1] See Best Practices Guide and companion subguides 1996 for an indepth discussion on how to plan, manage, and monitor the various components of training in a reengineered context.

contribute to organizational performance. Personal merit or leadership potential will no longer be criterion for selecting trainees. What we seek is a critical mass of participants, who will return to their jobs upon completion of the training, and have an individual or collective impact on their institutions.

Training designs will spell out the specific results that the training is intended to have, and questionnaires, surveys, and evaluation tools will be designed based on the expected results. In the traditional approach, it was assumed that returned participants would apply the new skills and knowledge acquired, achieve professional gains, and make contributions to their communities and society at large. The specific results expected, however, were not always articulated. Thus, evaluators were forced to seek out returned participants, identify their accomplishments, and report whatever results they observed.

Reengineering guidelines and practices call for a greater level of accountability. The same rigor that should guide the design and implementation phases of a training program needs to be observed when documenting and reporting results. Under a results framework, regular monitoring is conducted, and adjustments are made periodically at the design and implementation levels. Success is measured in terms of performance deficits addressed and documented improvements that directly link to the strategic objectives.

Identifying these intended results at the design stage assists all those involved in the training effort: providers are given a clear idea of the larger goals behind their particular program; participants benefit from a program with clear expectations, objectives, and defined applicability to their work; and USAID and its contractors have clear benchmarks with which to measure program results.

Mission training specialists play a pivotal role in this effort. They must thoroughly familiarize themselves with USAID reengineering concepts and practices, particularly as they are applied in their respective Missions. The challenge for them lies in restructuring their function and gaining recognition from SO teams that human resource development is at the core of achieving sustainable results in each of the strategic areas.

Training specialists are expected to assist SO teams in aligning training activities with specific objectives; justify the need for a timely training intervention; work closely with partner institutions to support continuous staff development and learning; monitor and measure improvements; and report results. The knowledge, expertise, and background that they bring to this endeavor will be in great demand and certainly tested. This new and challenging function requires a shift from planning and managing training as a process to shaping and improving performance in support of organizational goals; a shift from being training managers to providing strategic input. Thus, the main purpose of this study is to provide these specialists with practical and useful tools, techniques, or approaches for the effective stewardship required to design quality programs.

Table I on the next two pages synthesizes and contrasts the differences between traditional and reengineered training practices discussed above.

TABLE I

Comparison of Training Concepts Under Traditional and Reengineered Training

Traditional Training	Reengineered Training
Needs Assessment	
General inventory of training needs was conducted.	Needs that address specific gaps in job performance are identified.
Objectives	
Training was the objective.	Training is one of several development tools used to achieve a strategic objective.
Objectives were not linked to program goals; they were defined as learning results.	Objectives show direct linkage to program goals.
Aimed at general improvement.	Targets specific objectives. Has a precise and narrow focus.
To strengthen the organization or institution, or provide general institutional building.	Strives to improve the individual and the organizational performance through the application of new knowledge, skills, and attitudes.
Selection	
Participants were selected based on individual merit, ability, or leadership qualities.	Participants identified for training are those who will perform the jobs that will contribute to the organizational improvement. A *critical mass* of people is selected for maximum impact.
Design/Implementation	
Historic preference for U.S.-based training.	Choice of training, location, and duration should match real needs.
Training designs were based on the number of people trained or the needs of the participants.	Design is targeted and based on the need to upgrade the performance of the institution. Training content shows linkage to strategic objectives.

Traditional Training	Reengineered Training
Evaluation	
Number of people trained was the indicator.	SO teams identify training indicators prior to training, i.e., agree on the changes that training will bring.
Was based in terms of outputs, such as number of people trained; or inputs, such as number of courses offered.	Is evaluated in terms of results, i.e., the improvements participants have on job performance or on the organization.
Quality of training was assessed based on participant satisfaction and individual results achieved.	Results are assessed in terms of customer needs. Evaluates changes in specific performance areas, such as, productivity, efficiency, safety, quality of service.
Learning results and impact were not specified.	Requires baseline data and targets. Indicates measurement of improvement and results.
Accountability rested on trainers only.	Trainers, supervisors, and participants are accountable for results.
Role of Training Specialists	
Training was the sole responsibility of the training office.	Training specialists are integrated into SO teams and together they participate in the planning, implementation, and monitoring of training.
Training specialists managed the training function and provided a specialized service.	They become strategic partners. They assess needs, monitor progress, and report results.
Role of the Customer	
Partner organizations had little input in the planning of training activities.	Customers (participants, supervisors) provide input and are directly involved in the planning and implementation phases of all training components.
The benefit of training results to partner organizations was not always specified.	Partner organizations are fully aware of the benefits derived from training its staff.
Participant alone was responsible for applying new skills.	Application of new skills is the responsibility of the customers as well.

Regardless of the form (training, education, development, or some combination or variant of these types), all HRD is alike in that it is not meant to be done for its own sake but rather to benefit the organization. (Brinkerhoff: 10)

Reengineering Core Values: Their Relationship to Training

Four core values have guided the Agency's effort to restructure its operating systems: managing for results, teamwork, customer focus, and empowerment and accountability. It is important to analyze how we can use these values to guide our thinking and decision-making process; what they mean in terms of planning and deciding training activities; and how they apply to the various phases of the training process. Following is a brief description of the core values and their application to training:

Managing for results - Means developing results-oriented strategic objectives and performance indicators, routinely collecting and analyzing data to monitor program results, and using this information to allocate resources.

For the training function, this means that objectives address the skills that need to be improved in the workplace or organization. Mechanisms for collecting regular feedback allow for timely changes in the design or implementation phases and provide an analytic base for measuring and using results. Budget decisions are made based on results—on the actual improvements made.

Teamwork - Missions will establish strategic objective teams to design and manage their programs. SO teams have the freedom and authority to plan their own activities and set goals.

In the training context, teams comprise training specialists, partners, customers, participants, or beneficiaries, who develop the objectives and indicators and are in charge of monitoring and conducting periodic evaluation activities.

Customer focus - The customer is involved in defining the activities that will best address their needs. This means that Missions must include customers as part of the SO team, and they must participate in all phases of program development.

In planning training, the customer is directly involved in assessing the organization's performance gaps; identifying the skills that need to be upgraded or acquired to address these gaps; selecting the group of employees that need to be trained; deciding on the most appropriate training design; and participating in the monitoring and feedback process.

This level of participation may be deemed too involved and time consuming. Supervisors, in particular, may feel that it detracts from other more pressing managerial functions. But the importance of direct customer involvement and participation cannot be overemphasized. Building the human resource base not only allows the customer and the organization to keep pace with change, but it also provides a significant source of competitive advantage.

Empowerment and accountability - USAID/Washington will set directions and provide guidelines, but field Missions will decide how to implement them. Training teams will have the responsibility for allocating, managing, monitoring, and reporting on the resources expended.

The following table presents a graphic illustration of how the four core values are applied at each of the major phases of the training process.

TABLE II

Relationship of USAID Reengineering Core Values to the Training Process

Core Values	Training Process		
	Design/Planning	**Implementation**	**Monitoring & Evaluation**
Managing for Results	- Training objectives are defined in terms of performance gaps. - Training indicators have been established.	- Training is implemented with focus on skill improvement. - Timely adjustments to design and implementation are based on regular feedback.	-Results are reported in quantifiable terms and are linked to SOs. - Results are linked to budget decisions. - Reduced reporting requirements facilitate focus on results.
Teamwork	-TEAM* develops and agrees on objectives and indicators.	- TEAM input is sought to implement and manage project.	- M&E process and activities are conducted by TEAM at regular intervals.
Customer Focus	- Customer defines needs, i.e., performance gaps that training can address.	- Customer is involved in implementation process and provides regular input.	- Customer experiences improvement in individual job and in organizational performance. - Customer satisfaction is essential to future training programs.
Empowerment *and* ***Accountability***	- Training resources are allocated by SO teams.	- Implementation of training activities is delegated to TEAM.	- TEAM has responsibility for M&E process. - SO team reports results in R4.

*TEAM refers to SO team, training specialists, partners, customers, participants, or beneficiaries.

Evaluation Models

If we are to rethink the role of training in a strategic context and assess its impact beyond individual attainment, then the tools we use to measure results must reflect the new practices being implemented under reengineering. How do we measure the effectiveness of training in terms of results rather than inputs? How do we know if training is the appropriate medium for meeting the performance gaps identified? Training professionals confront these issues increasingly as they are pressured both to redefine the training function and justify their investments. Regular monitoring and evaluation practices are not only the best means of providing such justification but also an essential component of all training designs.

This section summarizes three training evaluation models designed by Donald Kirkpatrick, Robert Brinkerhoff, and the USAID-funded HERNS project (Human and Educational Resources Network Support). It is beyond the scope of this study to provide detailed evaluation tools or techniques for the various levels of assessment described in each of the models. The intent is rather to present criteria and guidelines useful in designing quality monitoring mechanisms and to synthesize the issues—from a conceptual point of view—related to measuring training effectiveness and efficiency.

It should be noted, however, that only the HERNS model was specifically designed to evaluate USAID training programs. The concept of preparing *change agents*—individuals who exert influence beyond the workplace, at the program level or in their communities and society at large—is used by the HERNS model to measure impact at the highest level.

While the Kirkpatrick and Brinkerhoff models do not measure results beyond the workplace, they do provide practical and valuable strategies, insights, explanations, or solutions applicable to development training programs. Considering the numerous differences in programs, structures, and work environments in which SO teams operate, a single monitoring and evaluation method, most probably, will not address all the issues related to the training event. A sound and more reliable strategy is to establish monitoring mechanisms that will permit training staff to collect, analyze, and report results on a regular basis. In other words, allow the strengths and uses that each model offers to reenforce the various needs of the training programs as best suited. The level and degree of effort expended at each level of evaluation naturally depends on the needs, requirements, and resources of the program.

Four-Level Evaluation Model
Donald Kirkpatrick

Donald Kirkpatrick outlined the four levels of his widely used evaluation model in a series of articles published in 1959. Often acclaimed for its practicality and simplicity, Kirkpatrick's model has certainly withstood the test of time. In the subsequent decades since the publication of the articles, training and evaluation professionals have frequently quoted, applied, modified, and expanded this model. And despite the numerous changes and innovations that training concepts and designs have undergone over the years, this model continues to be a useful and effective tool.

In 1994, Kirkpatrick published, *Evaluation Training Programs, the Four Levels* in which he explains the concepts put forth in his series of articles and provides techniques along with a set of guidelines for evaluating each level. The second part of the book provides case studies of organizations that have used evaluation at different levels.

The four levels outlined by Kirkpatrick are:

Level 1 - Reaction
Level 2 - Learning
Level 3 - Behavior
Level 4 - Results

The author cautions that each level is important and none should be skipped in favor of the level that is deemed most useful. Each level of evaluation provides essential information for assessing the effectiveness of the following level. The motivation and interest of the trainees (Level 1 - Reaction), for instance, has a direct influence on the level of learning that takes place (Level 2 - Learning). Likewise, the amount of learning that takes place influences the behavior (Level 3) of the person, without which there would be no results (Level 4). The higher the level, the more involved, costly, and challenging the process becomes to accomplish and assess.

Reaction - Level 1

Reaction measures the level of trainee satisfaction as to the location, training content, or effectiveness of the trainer. If the trainees do not have a positive reaction to these, they will not respond favorably to the material presented or skills taught. Thus, it is crucial to assess the level of satisfaction of the participants at regular intervals during the training and make the necessary adjustments based on the feedback received. The motivation and interest of the trainees has a direct influence on the amount and level of learning that takes place.

Guidelines for evaluating reaction

- Determine what you want to find out
- Design a form that will quantify reactions
- Encourage written comments and suggestions
- Get 100 percent immediate response
- Develop acceptable standards
- Measure reactions against standards and take appropriate action
- Communicate reactions as appropriate

A short, yet well-constructed questionnaire should provide the necessary information to assess Level 1 results. This is a relatively easy task, and one should aim to get a 100 percent response. A positive response will not guarantee that participants will apply the content of the training in the workplace, but a negative reaction, most likely, will prevent trainees from going beyond this level.

Learning - Level 2

Kirkpatrick contends that learning takes place when attitudes are changed, knowledge is increased, or skills are improved. Learning to use a new software program, for instance, increases the skill level, while a program aimed at enhancing male involvement in family planning would deal with cultural differences and seek to change attitudes. An evaluation tool aimed at measuring learning must take into account the specific objectives of the training.

Guidelines for evaluating learning

- Use a control group, if practical
- Evaluate knowledge, skills, and/or attitudes both before and after the program
- Get a 100 percent response
- Use the results of the evaluation to take appropriate action

Kirkpatrick makes the point that when evaluating learning, we are also measuring the effectiveness of the trainers. If the results at this level are not satisfactory, we may also need to assess the training venues, as well as the expertise and training skills of the staff.

Behavior - Level 3

This level tests whether participation in training has resulted in changes in behavior. Participants may be asked to provide specific examples of how training has affected their job performance. Kirkpatrick emphasizes the importance of evaluating levels one and two before attempting to measure changes in behavior.

Guidelines for evaluating behavior

- Use a control group, if practical
- Allow time for behavior change to take place
- Evaluate before and after the program, if practical
- Survey and\or interview one or more of the following: trainees, their immediate supervisor, their subordinates, and others who often observe their behavior
- Get 100 percent response or a sampling
- Repeat the evaluation at appropriate times
- Consider cost versus benefits

For change in behavior to occur, two key conditions must be present: The person must have an opportunity to put into practice the skills acquired and must encounter a favorable work climate. The training program can teach the necessary skills and provide a conducive environment to change, but providing the right climate is the responsibility of the participant's immediate supervisor. If learning took place, but no changes in behavior are observed, it may be that the person does not have a supportive environment, or work conditions prevent him/her from applying the new skills. Likewise, if the individual has shown improvement in job performance, but no improvement is evident in the organization, then the climate of the organization should be analyzed to assess the causes, rather than the training. All these are important variables to consider before deciding whether or not the training has produced the expected results at this level.

Results - Level 4

The first three levels assess the degree to which participants are pleased with the program, acquire knowledge, and apply it to their jobs. Level 4 attempts to measure the final results that took place due to participation in the training.

This is the most difficult level to evaluate and requires considerable time, skill, and resources. At this level we measure the benefits to the organization that resulted from training. There are numerous ways of measuring results: increased efficiency, reduced costs, better quality, enhanced safety, greater profits. Again, the final objectives of the training program must be defined in terms of the results expected. Kirkpatrick, however, does not address the fact that impact measurement must take into account that other variables affect performance besides training. (See section on Monitoring and Measurement Tools.)

Guidelines for evaluating results

- Use a control group, if practical
- Allow time for results to be achieved
- Measure both before and after the program, if practical
- Repeat the measurement at appropriate times
- Consider cost versus benefits
- Be satisfied with evidence if proof is not possible

The usefulness of the Kirkpatrick model lies in its logic, elegance, and applicability. However, while it has been used widely to evaluate USAID-sponsored training, we must take into account that it was not devised with development programs in mind, which seek ways of measuring results linked to strategic objectives at the program level.

The chart below illustrates the chain of impact of each of the four evaluation levels based on the value of the information that each level provides, the power to show results, the frequency of use, and the difficulty of assessment. Level 4 evaluation yields more valuable information and has a greater power to show results than the other levels. Level I evaluations are fairly common, but less frequent at Level 4 largely due to the level of difficulty to administer and assess. (Phillips 1994: 7)

Chain of impact	***Value of information***	***Power to show results***	***Frequency of use***	***Difficulty of assessment***
Reaction (Level 1)	least valuable	least power	frequent	easy
↓	↓	↓	↑	↓
Learning (Level 2)	↓	↓	↑	↓
↓	↓	↓	↑	↓
Behavior (Level 3)	↓	↓	↑	↓
↓	↓	↓	↑	↓
Results (Level 4)	most valuable	most power	infrequent	difficult

Six-Stage Evaluation Model
Robert Brinkerhoff

In his book *Achieving Results from Training*, Robert Brinkerhoff presents a six-stage training evaluation model, which adds two initial steps to the Kirkpatrick model—evaluation of the needs and goals of the training design. Brinkerhoff contends that crucial information needs to be gathered at these first two stages before the decision is made to implement a training program. He examines in considerable detail the issues that need to be resolved at each level before moving to the next one and offers a wide variety of data collection techniques, guidelines, and criteria crucial to making sound decisions and ensuring that the training program pays off.

Before undertaking an evaluation exercise at any level, however, Brinkerhoff underscores the importance of clarifying the *need* and *purpose* of the evaluation; the *type of information* that should be collected at each stage; the *audience* for whom the information is gathered; how the *reporting* will be conducted; and the key *decisions* and *judgments* that need to be made based on the data collected at each step of the process.

While he provides a vast array of examples, checklists, and suggestions, he encourages trainers to decide for themselves what important issues and questions to raise throughout the process based on the unique circumstances and needs of their respective programs. An evaluation effort (and for that matter a training program) should not be carried out if there is no consensus or clear answers to the most important issues identified.

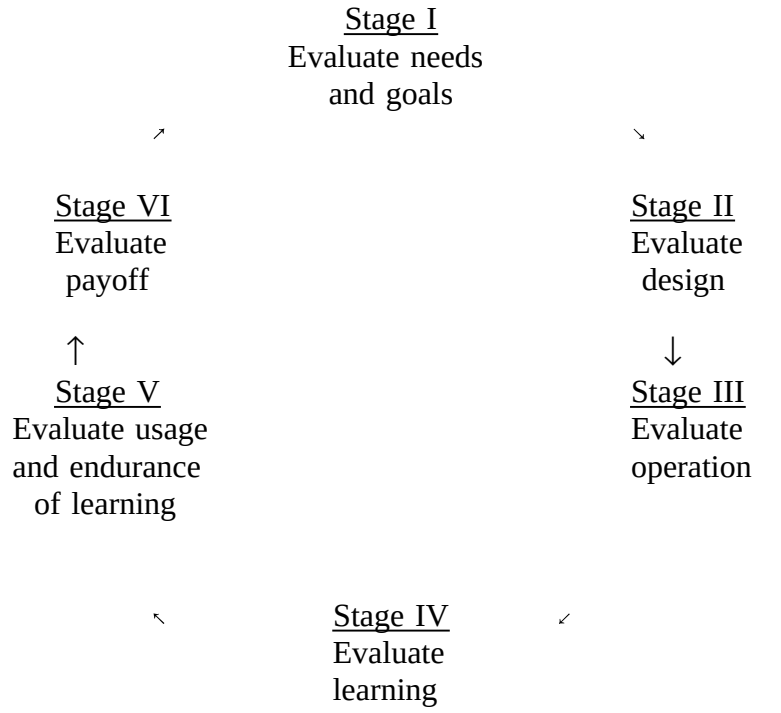
The six stages of Brinkerhoff's evaluation model are:

Stage I - Evaluate Needs and Goals
Stage II - Evaluate the Design
Stage III - Evaluate Operation
Stage IV - Evaluate Learning
Stage V - Evaluate Usage and Endurance of Learning
Stage VI - Evaluate Payoff

These six stages represent a sequence in which each step is linked to the preceding one, as well as to the following step. The issues that may arise at any stage are directly linked to the decisions made in the preceding one and have a direct impact on the outcome of the following stage. He refers to the "training decision-making cycle," i.e., problems that surface pertaining to any of the stages may necessitate reviewing the decisions made at the previous stages, examining the reliability of the data, or even returning to Stage I.

The following diagram illustrates the decision-making cycle of the six-stage model (p.27):

The Six-Stage Model as a Cycle



This model shows the "recycling that takes place among the stages." For instance: if the participants are not interested and motivated during the training (Stage III), is the design appropriate (Stage II)? Is the training necessary (Stage I)?; or if the employees are not applying the skills taught (Stage V), did they really learn them (Stage IV)? Are the new skills still necessary for them (Stage I)?; or if trainers cannot agree on the appropriate design (Stage II), is training the answer to the problem (Stage I)? (p.33)

Following is a summary of the six-stage model. As stated above, it is beyond the scope of this section to provide specific mechanisms or tools needed to conduct an evaluation exercise. The intent rather is to synthesize the salient concepts and definitions that each stage addresses and examine the guidelines, criteria, and key issues that need to be resolved throughout the process.

Stage I - Evaluate Needs and Goals

The data collected at this level are used to analyze and prioritize the needs, problems, and weaknesses of the organization and establish what training goals are worth pursuing. This analysis also provides crucial information to determine whether training is the solution to the weaknesses identified.

There are several situations that may call for a training solution, such as performance deficits, organizational changes, or management decisions. Since Stage I analysis will provide a framework for establishing the value of the training and determine its potential payoff, it is directly linked to Stage VI evaluation, which determines whether or not the training was worthwhile.

The following examples illustrate the relationship between the performance gaps identified (Stage I) and the benefits sought (Stage VI). (Adapted from p. 33)

Stage I Needs (Reasons) for Training	Stage VI Benefits (Criteria for Success)
Lack of research skills for ongoing qualitative and quantitative data collection	Data is collected, analyzed, and reported regularly
Inefficient decision-making procedures due to centralized systems	Increase in productivity with changes in local problem-solving ability

These examples illustrate how organizational deficits are linked to corresponding criteria to assess the results of the training. If consensus for Stage VI criteria cannot be reached, it is an indication that either work at Stage I is not complete, or there is no need to do training.

In summmary, the purposes of Stage I evaluation are to assess, validate, and rank the needs and problems; clarify the causes of the problems; distinguish between needs and wants; and determine the potential value in meeting these needs.

> *Stage I seeks data that will "predict" whether on-job behavior can and should be changed, whether specific SKA [skills, knowledge, attitudes] changes would be sufficient for changed behavior, and whether SKA changes are achievable through a training intervention* (p.26).

Stage II - Evaluate Training Design

This level assesses the appropriateness of the training design. It focuses on the issues that must be considered *after* the decision is made to undertake a training activity, but *before* it is implemented. At this stage, several designs may be proposed, and the strengths and weaknesses of each assessed. The design finally adopted may represent a composite of the best elements of several designs.

Careful analysis of the adequacy of the strategies and materials, as well as the training methods and venues selected, will render a stronger and more effective design and allow the process to move to the implementation stage. The inevitable weaknesses present in the design will be revealed when it is actually put in operation, and the trainers will have to review it and make the necessary adjustments. This is an example of what the author refers to as the recycling process of the six-stage evaluation model.

Among the criteria suggested to guide the assessment of the training plan are:

Clarity and definition. Everyone involved in the training event—operating unit, customers, and participants—must be able to readily understand the various components of the design. This involves clear definition of the needs and goals to be addressed by the training; the approaches and strategies developed; and the resources necessary to implement the programs.

Compatibility. The training format adopted and the materials selected must also reflect the environment in which the training will take place, the cultural and ethnic make-up of the participants, as well as their educational, professional, and social backgrounds.

Theoretical adequacy. The design must incorporate current research and sound theory related to adult-learning practices.

Practicality and cost-effectiveness. The theory that supports the design might be excellent, but if it requires unreasonable financial or human resources, it may not be a practical design. The evaluation at this level should consider economic alternatives of implementing the training without compromising the objectives.

Legality and ethics. The importance of considering this criterion at the design level cannot be overemphasized, and the "criteria regarding ethics and legality are absolute and must not be compromised." Trainers need to take into account and honor the needs, rights, and expectations of the participants based on their customs and traditions, as well as ensure their physical safety. (For USAID-sponsored training, this means that it must adhere to regulations put forth in ADS 253.)

> *Stage II evaluation should carefully identify the objectives that a given design will probably achieve, then compare these against the initial expectations to assure that real and worthwhile needs are likely to be addressed* (p.88).

Stage III - Evaluate Training Implementation

Once the training design is deemed appropriate, this stage monitors the training activities and gathers feedback on the reaction and level of satisfaction of the participants. It assesses the discrepancy between what is actually taking place in the training and what was planned or expected. To solve the problems encountered at this level, trainers may need to refer back to the training design (Stage II) and make the necessary adjustments.

Some useful techniques to conduct Stage III evaluation include:

Interviewing. Whether the interviews with participants are structured or informal, they are a useful technique because they allow the trainers to ask follow-up questions and obtain more detailed information.

Key participant method. This method involves selecting trainees who, because of their expertise or leadership qualities, are able to provide thoughtful comments and insights.

Observations. One trainer observes another and records participant reactions and behaviors. If an observation form is developed, it will render useful quantitative data on the reaction of the participants.

Trainee rating and reaction forms. Questionnaires and surveys may be administered at regular intervals during the training to gauge the satisfaction level of the participants. But because this is the most commonly used method to evaluate reaction to the training, participants may not pay much attention to the forms and provide superficial comments. Nonetheless, their reaction is important in order to proceed to the next stage.

> *... Stage III process is one of observing and assessing the program's progress, noticing discrepancies, making revisions, and trying it out again, then reobserving and reassessing to see if progress is now acceptable. This is the process that makes training work and move toward payoff* (p.96).

Stage IV - Evaluate Learning

Any training event, regardless of its scope or duration, aims to enhance the skill and knowledge level of the participants. The extent to which this improvement has been achieved is the measure of the effectiveness of the program. Stage IV determines the level of learning and improvement that took place. If sufficient learning occurred, we can expect that it will be applied in the workplace and results will be achieved.

The data gathered at this level are used to revise and refine the activities and strategies that will ensure the desired transfer of learning. Brinkerhoff suggests the following uses for Stage IV evaluation:

Gathering evidence that proves the effect of training—accountability. Trainers need to provide evidence that the skill and knowledge level of the participants has improved.

Determine mastery of training results. This information is useful at three levels: it provides feedback to the participants regarding their achievement, to the trainers regarding trainee performance, and to the supervisors regarding the degree of skill mastery of their staff.

Looking for unintended results. If the unintended results are also undesirable, trainers need to know this information to reenforce those areas in the program that produce desirable results.

Planning for Stage V follow up. Because Stage IV evaluation identifies weaknesses in the achievement of skills and knowledge, it sets the framework for Stage V evaluation, which assesses the application of these skills.

Marketing. By reviewing past learning results of training, particularly results based on "reliable and valid measures of achievement," SO teams and customers can make informed decisions on whether training is the appropriate answer.

> *A common definition of evaluation, particularly among educators, is that it consists of defining objectives, specifying those objectives measurably, and then assessing the extent to which learners have mastered those objectives. With a few minor additions and caveats, this definition accurately captures the spirit of Stage IV evaluation (p 113).*

Stage V - Evaluate Usage of Learning

This level of evaluation indicates how well the trainees are using on the job the knowledge and skills acquired. "It looks at *actual* performance, not *ability* to perform."

Stage V evaluation usually takes place at the workplace, which "represents the richest source of data." Because transfer of training to the workplace does not take place exactly as planned, evaluators should take into account the numerous steps and changes that occur from the learning results phase (Stage IV) to the eventual application of these results. The purpose of Stage V evaluation then is to record and analyze these steps and changes. Essentially, it documents when, where, how well, and how often the training is being used; which skills are and are not being used; and how long the effects of training have lasted.

The author once again cautions that it is important to clearly define the explicit purposes and uses of a Stage V evaluation before designing it. Below are some guidelines:

Revising training. This level determines the effective and ineffective ways in which the new knowledge is being applied. It signals ways of improving the program to achieve transfer of skills and knowledge at the level expected. Or it may be decided that other types of targeted interventions at the workplace, such as providing peer support or greater guidance, are all that is necessary.

Planning ahead for Stage VI evaluation. The benefits that training brings to the organization cannot be assessed without an accurate understanding of how the new skills are actually being applied. Stage V documents instances of appropriate application of the new skills, which forms the basis for Stage VI inquiry.

Documenting and accounting for transfer of training. Provides crucial information to potential participants as to what they can expect from training in terms of actual results in the workplace. By documenting the before and after behaviors in the workplace, an evaluator also develops a database for Stage VI evaluation.

> *It should be noted ... that the benefits to the organization derive not from what was learned but from what actually gets used. This provides the basic reason for being of Stage V evaluation: Training is not done for the sake of learning alone but for the sake of providing value to the organization through improved job performance* (p.133).

Stage VI - Evaluate Payoff

By the time the evaluation process reaches this level, we can assume that the training was successful, the participants are applying what they have learned, and an evaluator has identified and recorded the extent to which changes have taken place in the workplace. The aim of Stage VI evaluation then is to assess the *value* that these changes have brought to the organization and whether this value was worth the effort given the time and resources expended.

The sequence of events that follows a training intervention—from acquiring knowledge to changing behavior in the workplace to deriving benefit from the change—is an unpredictable and complicated one. The worth of the training is measured by documenting the benefits, assessing their value, and comparing them to the cost of the training. Thus, the key question posed by Stage VI inquiry, Was the training worth it? cannot be readily answered without first examining four issues:

- *The benefits that have resulted from training*
- *The value of each of the benefits* (monetary or otherwise)
- *How the value of the program's benefits compare to training costs*
- *The extent to which the initial training need or problem has been resolved*

If we consider the six-stage model as a cycle, the data collected at the final stage are used to assess whether the training results have resolved satisfactorily the needs of the organization. The fourth point above addresses this issue, which leads directly to the needs and goals that were identified at Stage I. To determine whether the training has paid off, it is crucial to show at this level of evaluation the link between Stage VI and Stage I. The answers derived from this analysis will guide the decision to either replicate or abandon future training programs in the same area.

Sometimes the value of the benefits may be assessed in monetary terms or cost savings, and therefore, can be easily measured. But in cases in which it is not feasible to measure the value of the improvement in financial terms—such as clean air or improved teamwork and morale—we have to use qualitative methods. And while these methods may be more subjective, the improvement should not be considered less valuable or beneficial.

Some important guidelines to follow when embarking on a Stage VI evaluation include:

Consider a broad range of training impact variables. This involves documenting benefits that may not be directly linked to the needs but are nonetheless beneficial to the organization.

Look for specific training applications. The point here is that a list of *specific* applications —as opposed to general statements of impact—is of greater use when making decisions about the value of future programs.

Consider a wide range of cost factors. The worth of training must take into account the numerous costs associated with this activity.

Refer to specific data from preceding evaluation stages. This guideline refers to the recycling concept. Stage VI calls for attributing a value—monetary or otherwise—to the results. Thus, the data obtained at Stages II and III, the design and implementation levels, are used to estimate the cost of the training. Stage I data, as mentioned above, provide a basis for determining the value. The crucial point that bears repeating is that Stage VI evaluation should not be undertaken without reference to the data obtained at the previous levels.

> *Stage VI evaluation will have to work toward specifying, identifying, describing, and documenting those results of HRD that can be construed, in and of themselves to be pay-offs—things of value to the organization. These "things of value" are the end points on the chain of events resulting from HRD.*

The six-stage model represents an exhaustive evaluation exercise that is not always feasible to achieve based on competing deadlines and reduced budgets. Nonetheless, Brinkerhoff's advice is to consider each of the stages, if only briefly, to guide and bolster the training function and educate the customers as to its benefits.

HERNS Models

The HERNS (Human and Educational Resources Network Support) project carried out by Aguirre International provides assistance to USAID Missions with the design, development, and evaluation of training activities. Through this project, HERNS specialists have developed performance monitoring systems and training impact evaluations for several Missions.

The model presented below was designed in 1995 for USAID/Egypt's integrated monitoring and evaluation (M&E) system. It links the sequence of events of the training cycle with key M&E activities. Source: *Development Training II Project, M&E System,* USAID/Egypt.

Planning	Strategic, tactical, and operational. Key M&E activites include clarifying the link of training to SO, establishing indicators, and collecting available baseline data.
Implementing	Pre-departure, training provision, re-entry, and follow-up. Key M&E activities include collecting trainee biographical data, pretraining, and end-of-training evaluation data.
Applying	Post-training application of new skills to workplace. Key M&E activities include follow-up questionnaires, interviews, focus groups, and institutional case studies.
Achieving Intermediate Results (Individual)	Trainee performance improvements. Key M&E activities include follow-up questionnaires, interviews, focus groups, and institutional case studies.
Achieving Intermediate Results (Institutional)	Partner institution performance improvements. Key M&E activities include follow-up questionnaires, interviews, focus groups, and institutional case studies.
Realizing Results	Impact on customers and achieving SOs. Key activities should be included in M&E plans for results packages and SOs.

Subsequent monitoring and evaluation systems designed by HERNS evaluators continue to emphasize that training for results shifts the focus away from the individual trainee to the organization. Implementing training for results leads training managers to work closely with organizational sponsors—those who will have a direct bearing on how the development of human capital is used to achieve the goals of the organization. The focus on organizational performance is also characterized by a shift in monitoring and evaluation activities, as illustrated in TABLE III prepared for USAID/El Salvador. The issues and questions that need to be addressed in a monitoring and evaluation system that links training to results are described for each level.

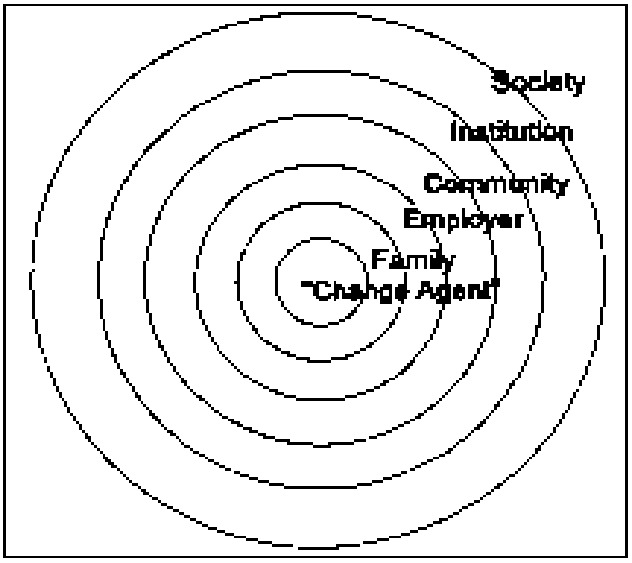
TABLE III **Measuring Progress Toward Achievement of Strategic Objectives**

	Strategically Plan and Implement Training →	***Acquire skills, knowledge, and attitudes*** *(SKA)* →	***Apply SKA/ Achieve training activity objective*** →	***Contribute to the Results Package (RP) objective*** →	***Contribute to the Strategic Objective*** →
Why is this being monitored?	To judge the performance of SO/RP teams, training units, contractors, and providers in ensuring relevant and quality training programs.	To measure the increased capacity of trainees as a necessary precondition to improved performance in the workplace.	To measure the improved performance of trainees as related to key institutional performance requirements.	To measure progress toward improved institutional performance as a key intermediate result leading to an SO.	To measure progress toward the SO.
What indicators will be used to measure it?	Generic: Degree of collaboration of all stakeholders in planning, including action planning that links training to SOs. Degree of trainees' satisfaction with training. Specific: TBD by RP team.	Generic: Degree of change in SKA (pre/post). Specific: TBD by RP team.	Generic: Percentage of trainees applying elements of training; percentage of action plans executed; percentage of trainees with increased responsibilities. Specific: TBD by RP/SO team.	To be determined by RP team.	To be determined by SO team.
How will it be measured?	Self assessment of collaboration through focus groups with stakeholders. Trainee satisfaction questionnaires.	Training providers' assessments of trainees. Exit interviews and questionnaires.	Trainee questionnaires. Interviews/focus groups with supervisors. On-site observations.	To be determined by RP team.	To be determined by SO team.
When will it be measured?	Focus groups: annually Questionnaires: upon completion of training.	Upon completion of training.	Within six months of completion of training.	To be determined by RP team.	To be determined by SO team.
Who will be responsible?	Focus group: GTD contractor Questionnaire: training unit	Training provider and training unit.	Training unit with RP team.	RP team.	SO team.

Source: *Human Capacity Development Activity Design.* A HERNS Report. USAID/El Salvador, January 1997.

HERNS evaluation specialists underscore the importance of specifying who needs to know the results and how these will be recorded. The results on how training contributes to performance improvement in institutions can be used by the SO/RP teams and reported in R4s. Results about the training activity itself assist managers and training contractors in making adjustments in the design of future programs.

Change Agents



An earlier model was developed by Aguirre International to evaluate training under the CLASP[2] program. Given the goals of the training to select and train young leaders in leadership and substantive skills, the evaluators identified the participants as change agents and documented their individual achievements in an ever-widening circle of influence. *Change agents* are defined as "individuals who have the capacity and motivation to initiate or effectively support sustainable development through their own actions and by their influence on the actions of others." *(Training Impact and Development,* 1994). The further the person moves from the center, however, the more difficult it is to quantify the contributions or to link them to the training experience. This model was developed prior to reengineering and does not reflect the current focus on results-oriented training. Nevertheless, it provides a useful conceptual framework for assessing the unanticipated consequences of training, such as those described under the *Multiplier Effect Activities* in the economic growth and democracy and governance case studies.

[2] Caribbean and Latin America Scholarship Program, the primary source of funding for participant training programs in Latin America from 1985-1995.

Training Indicators

One of the core reengineering values—managing for results—calls for establishing clearly defined strategic objectives and developing performance indicators to track and measure progress. "Performance indicators are measures that describe how well a program is achieving its objectives." (TIPS #6, *Selecting Performance Indicators*). They are the direct measure of the intermediate result and, consequently, are indispensible tools in determining the extent to which changes or improvements have occurred. Appropriate and carefully articulated indicators provide the mechanism to monitor progress, measure achievement, and collect, analyze, and report results.
If we view training as a tool that contributes to the achievement of a strategic goal, then training indicators must be derived from the technical intermediate results to which the training activity has been linked. Training indicators will allow SO teams to establish the relationship between training and the results expected and determine the value of training as a tool to achieve an objective.

Developing quality indicators is a challenging task. It requires considerable deliberation and refinement to ensure that they meet the established criteria. Representatives from the various units involved in training, including the participants and supervisors, need to participate in the process and agree on the results that will be measured. It should be a collaborative effort that brings consensus on the final indicators that will be selected.

Criteria for Developing Indicators

Indicators specify the type of data that should be collected, along with the unit of measurement to be used. Only those indicators that can be measured at regular intervals, given the time and resources available, should be selected. The criteria presented below define the characteristics of quality indicators and the application of these criteria to training indicators.[3]

Direct - A direct indicator measures the result it is intended to measure. The indicator should not be stated at a higher or lower level than the result being measured.
For training, this criterion means that the indicator measures only one specific job improvement.

Objective - The indicator is precise, clear, and understood by everyone. It measures only one change at a time and there is no ambiguity as to the type of data that needs to be collected.
For objective training indicators, there is no doubt among all the groups involved—SO teams, participants and supervisors—as to what job improvement is being measured.

Adequate - All the indicators selected should together measure the result adequately. The actual number of indicators needed depends on the nature of the result, the level of resources available to monitor performance, and the amount of information needed to make informed decisions.
Adequate training indicators determine improvement in job or organizational performance that can be traced to the training.

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[3] Adapted from TIPS #6, *Selecting Performance Indicators*,1996

Quantitative and Qualitative - *Quantitative* indicators provide measures in numbers or percentages, such as reduced turnover or increased efficiency. *Qualitative* indicators describe changes that cannot be easily measured, such as improved attitude or morale. They often provide background information useful in explaining or analyzing the numbers or percentages.
Quantitative training indicators would measure increased productivity or efficiency, while qualitative indicators refer to changes in behavior.

Practical - The data can be collected with sufficient frequency and in a cost-effective manner. Reengineering guidance states that between 3 and 10 percent of total program resources should be allocated for performance monitoring and evaluation.
For training, practical means that SO teams or supervisors can administer easy-to-use monitoring tools at regular intervals and at a reasonable cost.

Reliable - Refers to the reliability and validity of the data, i.e., if the procedures used to collect and analyze the data were duplicated, the results would remain constant.
Reliable training indicators use valid surveys or questionnaires and the information collected can be easily verified.

Given the multiplicity of training applications and approaches, it is advisable first to develop a series of indicators and then select from that list the ones that will best measure the results. When undertaking this activity, however, one should keep in mind the admonition provided by Administrator Atwood in a recent communication:

> *These tools... should not be used in a rigid, mechanistic manner, stifling field creativity or ignoring the reality that performance must be interpreted differently in different settings. They should promote our knowledge of development and our ability to assess whether we are making progress, not limit it.*
> (USAID General Notice, 2/7/97).

With these issues in mind, the next two tables were designed as tools to assist SO teams in developing useful and appropriate training indicators. Table IV summarizes the criteria stated above for assessing the validity of generic indicators and the application of these criteria to training indicators. Table V provides examples of good and poor indicators judged against the established set of criteria and defined according to Kirkpatrick's evaluation levels. It is important to underscore, however, that Level III and IV indicators require more rigorous evaluation methods and that attribution of the improvement to the training experience needs to be specified.

TABLE IV **Criteria for Assessing Generic and Training Indicators**

	Criteria					
	Direct	***Objective***	***Adequate***	***Quantitative Qualitative***	***Practical***	***Reliable***
Explanation of criteria for generic indicators →	Measures the result it is intended to measure.	It is precise, clear, and widely understood.	It measures the result needed to make informed decisions.	Indicator is quantitative (numerical) or qualitative (descriptive)	Data can be collected in a timely and cost-effective fashion.	Uses valid methods of data collection.
Application of above criteria to training indicators →	Indicator measures the specific job improvement in question.	There is no doubt among SO team, participants, supervisors as to what job improvement is measured.	Indicator determines improvement in job or organizational performance that can be traced to training.	Quantitative shows increased productivity or efficiency. Qualitative shows changes in behavior or attitudes.	SO teams or supervisors can administer regularly practical, cost-effective monitoring tools, such as surveys or questionnaires.	Surveys or questionnaires used are reliable, and data can be easily verified.

The table on the next page provides examples of good and poor training indicators judged against the above set of criteria.

TABLE V **Examples of Training Indicators**

		Criteria					
Indicators	***Kirkpatrick Evaluation Level***s	***Direct***	***Objective***	***Adequate***	***Quantitative Qualitative***	***Practical***	***Reliable***
		Indicator measures the specific job improvement in question.	There is no doubt among SO team, participants, supervisors as to what job improvement is measured.	Indicator determines improvement in job or organizational performance that can be traced to training.	Quantitative shows increased productivity or efficiency. Qualitative shows changes in behavior or attitudes.	SO teams or supervisors can administer regularly practical, cost-effective evaluation tools.	Surveys or questionnaires used are reliable, and data can be easily verified.
Teachers are using locally relevant curriculum.	Level III	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative. Should state % of teachers.	Yes	Yes
Five ADR mechanisms created.	Level III	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative.	Yes	Yes
New performance appraisal systems established.	Level IV	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative.	Yes	Yes
80% reduction in the amount of time it takes to issue a license.	Level III	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative.	Yes	Yes

Continued

Examples of Training Indicators (continued)

		Criteria					
Indicators	***Kirkpatrick Evaluation Level***s	***Direct***	***Objective***	***Adequate***	***Quantitative Qualitative***	***Practical***	***Reliable***
Environmental impact statements carried out in 75% of projects.	Level III	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative	Yes	Yes
75% of projects are modified to comply with environmental impact statements.	Level IV	Yes	Yes	States improvement. Indicate other contributing factors.	Quantitative	Yes	Yes
75% of employees report improved morale.	Level III	Several elements comprise improved morale.	May involve improved communication, teamwork, or less absenteeism.	States improvement. Indicate other contributing factors.	Qualitative (indicates change in attitude)	Difficult to administer regular evaluation tools.	Difficult to verify data.
Increased number of child survival practices used.	Level IV	No. Should be broken down: -rate of ORT uses -percentage of children vaccinated -number of cases of diarrhea reported	Exact change/ improvement is not specified.	Linkage to training will have to be demonstrated. Improvement is too broad.	Quantitative percentage needs to be specified.	No	No. Data is not verified easily.

Additional Monitoring and Measurement Tools

Ways to Isolate the Effect of Training on Performance

The definition adopted for training impact states that we will measure improvements in job performance that can be directly attributed to training. Oftentimes, we observe that significant changes have taken place following a training event, but because training is only one of several inputs that influences results, we cannot attribute 100 percent of the improvement to the training experience. When reporting results, training specialists have found it especially challenging to isolate improvements from other nontraining variables, particularly since most evaluations are not designed to do so.

If the objective of the program was to improve performance in a specific area, and improvement can be recorded, Kirkpatrick would suggest that we should be satisfied with evidence instead of proof. (See Kirkpatrick Level IV guidelines). Other evaluation specialists, however, have proposed ways of isolating the effects of training by using trends analyses, control groups, or forecasting. While these methods present persuasive arguments for isolating performance improvements, they either require an unreasonable level of effort and resources or would not be feasible to conduct in a development context. (However, see *Witness Schools* under the case study for education, USAID/Morocco, for an example of a control group.)

The method described below—developed by Jack Phillips—is presented here because of its practicality and applicability. It represents a cost- and time-saving technique that is applied to Level IV evaluation. The data can be easily gathered, interpreted, and reported by the supervisors or the participants themselves. By developing a user-friendly form that surveys the percentage of the improvement derived from training, the author suggests factoring in a confidence level. For instance, if a participant estimates that 80 percent of an improvement is due to training and is 90 percent confident about that estimate, multiply 80% x 90% = 72%, which indicates the overall confidence level. Multiply this figure by the degree of the improvement in order to isolate the portion attributable to training.

It would not be a practical exercise, however, to isolate the effects of training without having collected data at the various levels of evaluation. This process begins once the participants have had enough time to apply the new skills in the workplace and sufficient information can be gathered on the results and improvements achieved.

Table VI provides a tool for isolating the effect of training by factoring in a confidence level and indicating other variables that may have contributed to the improvement.

TABLE VI

How to Isolate the Effect of Training on Performance Improvement

	Estimated percentage of improvement derived from training	Estimated confidence percentage	Confidence level	Amount of improvement	Portion of improvement derived from training
Improvement 85 percent reduction in customer complaints	80% x	90% =	72% x	85% =	61%
Issues to consider	Indicate basis for your estimation.	Indicate basis for your estimation.			Other factors that contributed to the improvement
Indicate here response to above issues.					

To increase the reliability of this approach, management can review and confirm participants' estimations. Supervisors may be aware of other factors not related to training that caused the improvement and their estimates may be combined with those of the participants. Likewise, depending on the circumstances, estimates may be obtained from customers or subordinates. Granted that we are dealing with estimates, which present an undeniable level of subjectivity, however, Phillips would argue that the estimates come from a "credible source, the people who actually produce the improvement." ("Was it the Training"?, *Training and Development*, March 1996.)

Assigning a Monetary Value to the Improvement

The approach proposed in this section involves thinking of the improvements gained through training in financial terms. There are numerous instances in which assigning a monetary value to the improvement would not be a practical nor feasible exercise. However, if the improvement results in less time spent in accomplishing a task, or fewer errors or accidents, or reduced turnover, then financial benefits can be calculated in terms of staff time, fewer fees paid by the organization, or increased production.

The two examples presented here illustrate how to calculate the *value of the improvement* and how to calculate *savings in overtime.*

To convert the *value of the improvement* into monetary terms, concentrate on one indicator at a time. For instance, if the improvement consists of reducing the amount of time it takes to issue licenses, first determine the baseline, i.e., the number of licenses issued per week before training *times* the amount earned by the employee per week. Show the difference in the number of licenses issued after training and calculate the percentage of the improvement. Multiply the employee's salary by the percentage of the improvement to obtain the value of the improvement. (See Table VII)

To calculate savings in overtime, first indicate the target: 50 percent reduction in overtime in a six-month period. Then determine the baseline, i.e., the amount paid in overtime prior to training. Establish the employee's hourly salary and multiply it by the number of overtime hours worked per month to arrive at the monthly cost. Follow the same procedure for the six month period being measured after training and calculate the savings. When presenting these results, a comparison should be made between the target established and the results achieved. (See Table VIII)

Converting results into monetary terms provides an additional way of measuring the benefits of training to an organization. As stated in preceding sections, training begins as a response to a need or problem in an organization. By calculating the value of the improvements, we bring training full circle to the needs and problems it was meant to address. In times of reduced funding, SO teams can use this data to decide which training activities should be funded, how to manage resources more efficiently, or to justify increased expenditures on training.

TABLE VII

How to Calculate the Value of Increased Production

Baseline - Number of licenses issued BEFORE training

No. of licenses issued per week	Employee's weekly salary (includes benefits)
14	$175

Results - Number of licenses issued AFTER training

No. of licenses issued per week	Employee's weekly salary
20	$175

Value of increased production

Difference in number of licenses issued per week	Percentage of improvement	Value of improvement
6	42% (6 ÷ 14)	$73.5 ($175 x 42%)

A 42% improvement has a value of $73.50 per week

TABLE VIII

How to Calculate Savings in Overtime

TARGET: 50% reduction in overtime in a six-month period

Baseline - Amount paid in overtime BEFORE training

Employee's hourly salary		Monthly overtime hours worked before training		Monthly amount paid in overtime before training	Amount paid in a six-month period
$5	x	30	=	$150	$900 ($150 x 6)

Results - Amount paid in overtime AFTER training

Employee's hourly salary		Monthly overtime hours worked after training		Monthly amount paid in overtime after training	Amount paid in overtime in a six-month period	Six-month savings in overtime
$5	x	10	=	$50	$300	$600 ($900-$300)

Comparison of target established with results gained

Savings (six months)	Percentage of savings (six months)	Exceeded target by
$600	66% ($600÷$900)	16%

Comments

The previous discussion on evaluation models, indicators, and measurement tools underscores that the monitoring and evaluation functions are not isolated academic tasks. They are integral and essential components of training activities, beginning with the needs assessment. The benefits derived from monitoring training progress and measuring results are significant. The process allows us to account for the resources expended and justify the investment made; provide a mechanism for regular revision and improvement of designs; and demonstrate that carefully planned programs constitute an effective tool for achieving results.

When analyzing and reporting training results, we also need to gauge the level of commitment that the trainees and their supervisors have to the training, as well as the climate that the participants will find in the workplace upon return. The extent to which trainees are given the opportunity to apply the new skills and the level of encouragement and support they receive are important factors to consider before deciding whether or not the training has produced the expected results or if the indicators were met.

Before deciding on the most appropriate evaluation model at any level, it is first important to clarify the need for an evaluation as well as its audience. Agree upon the types of questions that will best elicit the responses desired; carefully decide on the most appropriate evaluation tool; and determine who in the organization should be involved in the evaluation surveys or interviews.

Given the rapid organizational changes that some institutions experience, conducting only one report or evaluation will probably render it obsolete in a short period of time. A more credible approach is to develop a program that would include several monitoring and measurement mechanisms at different levels over regular intervals, using a variety of data collection methods and sources. The more approaches we use, the greater the level of reliability and credence given to the findings.

Training Activities in Support of Strategic Objectives

Sector Case Studies

This section features examples of training programs designed and carried out to support Mission strategic objectives. They are offered as case studies to illustrate the variety of approaches and creative applications that SO teams have used to implement the training function.

The following criteria guided the selection of the case studies: the objectives of the training show direct linkage to the intermediate result(s); training was offered to a critical mass of carefully selected participants who are in positions to effect change; involvement from the outset and at all stages of the entities affected by the results sought; follow-on activities; and results that show achievement of the intermediate result.

While each case study is presented in the format that best suits the training program described, the overall areas covered in each study include: a background piece describing the situation in the country, followed by an explanation of the training model, including training objectives and selection criteria, the monitoring and measurement tools developed, and a summary of the results achieved.

The case studies were prepared with the assistance of the respective Mission staff and/or training contractors who provided the information and data reported. Their interest, assistance, and collaboration in this effort have been invaluable. They enthusiastically shared their training designs and plans, provided thoughtful insights and observations, maintained regular communication with the author, and reviewed draft copies.

Following are the sectors represented in the case studies:

- ✓ ***Economic Growth*** - Privatization of industries and agriculture, USAID/Tajikistan
  Prepared with the assistance of Patrick Collins, NET Project, Academy for Educational Development and Brooke Isham, USAID/Almaty.

- ✓ ***Democracy and Governance*** - Administration of justice, USAID/Bolivia
  Prepared with the assistance of Beatriz O'Brien, USAID/Bolivia.

- ✓ ***Health*** - Improved quality with equity in health, USAID/El Salvador
  Prepared with the assistance of Jaleh Torres, USAID/El Salvador, and Henry Kirsch, Development Associates.

- ✓ ***Education*** - Increased girls' basic education, USAID/Morocco
  Prepared with the assistance of Monique Bidaoui, USAID/Morocco, and Meghan Donahue, AMEDIST.

- ✓ ***Training*** - Enhancing the Human Resource Base of Nongovernmental and Governmental Organizations.
  Prepared with the assistance of Leslie Long and Bonnie Mullinix, World Education.

ECONOMIC GROWTH
Privatization of Industries and Agriculture in Tajikistan

USAID\Central Asia

Background

USAID has a regional Central Asia office in Almaty, Kazakhstan with one of its satellite offices located in Tajikistan. The training program described in this case study was designed for Tajik participants and represents USAID/Central Asia's focus on economic restructuring as the foundation for developing the private sector.

Following its independence from the Soviet Union in 1991, Tajikistan faced grave economic and social problems. Serious political and ethnic differences among the various factions led to civil war; numerous industries closed; unemployment and inflation were high; and basic commodities, such as food, transportation, or public utilities became dangerously scarce. Moreover, the human resource skill base was undermined by the large emigration of ethnic Russians and other non-Tajik groups.

Faced with this situation, the government of Tajikistan sought to restructure its economy through the privatization of targeted industries. The thrust was to stimulate economic growth by facilitating the transition from a centrally controlled to a market-based economy. The USAID/CAR economic growth SO team assists the Tajik government as it defines and articulates its role in a market-led economy and formulates economic policies that promote growth and stability.

The USAID strategic objective for economic restructuring reads:

> *Foster the emergence of a competitive market-oriented economy in which the majority of the economic resources are privately owned and operated.*

The intermediate result is:

> *Improved, more sustainable business operations.*

Training Model

In order to assist Tajikistan's transition to privatized industries, government officials and USAID staff and training specialists designed three U.S.-based economic restructuring training programs that took place in 1994, ranging from five to six weeks each. The 27 participants selected for these programs were senior executives, senior government policymakers, and mid-level officials who represented a cross section of ministries and government agencies that have played a critical role in restructuring Tajikistan's economy.

Although each of the three training programs was designed for a specific group of participants with a separate set of activities, the programs were conceptualized as an integrated whole. Program content ranged from general theory and exposure to U.S. policies and practices to more specific aspects of implementation of economic procedures to a final session on overall management structures and legal underpinnings. Participants varied from mid- to senior-level officials based on content of the training program. The last session served to wrap up what had been covered in the previous sessions so that policymakers at different levels in the government could reach consensus on the changes that needed to be implemented. A degree of flexibility was built into the design of the program so that modifications could be made based on feedback from the participants.

The objectives for each of the training programs, along with the groups of government officials who participated, are indicated below. Because sections I and III were designed for senior-level officials, the objectives were the same.

Economic Restructuring I

Participants: Five senior executive officials

Objectives: To assist participants in defining an appropriate role for their government in a market-based economy by:
a) examining differences between market and command economies
b) focusing on how the government can establish a supportive environment through fiscal and monetary policy

To enhance participants' leadership skills to bring about economic and political change that promotes sustainable economic growth and stability by:
a) examining leadership and managerial characteristics of exceptional leaders
b) allowing participants to meet with these types of leaders and discuss how they have effected positive change

Economic Restructuring II

Participants: Twenty mid-level officials from various ministries and government organizations

Objectives: Examine the advantages and disadvantages of privatization

Review case studies of revitalized industries, focusing on the role of the public sector, investors, and employees

Explore the government's role in using fiscal and monetary policy, as well as regulation in facilitating economic growth

Identify strategies for managing change

Economic Restructuring III

Participants: Two senior government officials selected from the president's office.

Objectives: Same as Economic Restructuring I

Results

An essential component of the training design was an explicit description of the intended results, which spelled out how participants would be able to apply the knowledge and skills acquired during their training. It also gauged how the successful application of what was learned supported the achievement of the relevant USAID strategic objective.

Individual programs were evaluated using a variety of qualitative and quantitative methods. These included arrival and exit questionnaires, weekly interviews with groups and trainers to monitor progress, and site visits to selected programs. In addition, debriefings were conducted with returned participants, along with follow-on questionnaires. The following success stories from participants who attended the economic restructuring programs reveal the types of bold and innovative privatization and business measures undertaken that directly support achievement of the intermediate result:

✓ One participant fulfilled a contract that he signed with an American partner during training. The contract was designed to assist U.S. companies investing in Tajikistan and provided marketing, banking, and management training for Tajik specialists. In addition, the participant founded two wine and flour businesses.

✓ Under the direction of another participant, privatization of a state corporation, the Center for Electric Assembling, began with 20 percent of the stock transferred to employees as of January 1996. Complete employee ownership is planned for the end of 1997. The participant was also instrumental in the creation of two companies, a U.S.-registered import-export company established with Russian partners and another involved in the transportation of combustible materials.

✓ One participant planted a fruit orchard with a potential annual output of 1,000 tons. The irrigation systems installed for the orchard also provide drinking water for the population of the nearby valley.

✓ Another participant developed a proposal to establish an information agency, Asia-Plus. He approached several private and domestic organizations for funding and obtained a grant from Mercy Corps International. The participant also set up an office and hired staff.

- ✓ One participant developed a proposal to create a fund to conduct economic and political analysis for government officials in support of political and economic reform. The fund has been operating for about three years.

Follow-on questionnaires, typically administered after participants have been back from training for at least six months, provide additional quantitative data and represent key indicators of project success. The following statistics were reported in the September 1996 issue of the *NIS Highlights*, the monthly newsletter of the NIS Exchanges and Training Project:

- ✓ 95 percent reported that they have used the knowledge gained during training to effect policy decisions at the organizational level

- ✓ 88 percent reported that they have effected policy decisions that support the further development of a free market economy

- ✓ 80 percent reported that they have effected policy decisions that support the further development of a democratic system of government

- ✓ 97 percent reported that they have shared the ideas and techniques acquired in training with their colleagues and supervisors

Multiplier Effect

Training programs customarily have multiplier effects, and participants often engage in a variety of experiences—lectures, seminars, interviews, and writings—that they share with fellow professionals.

One multiplier effect activity pertaining to this training program, however, stands out: Five Tajik senior government officials from the President's Board on Economic Reform and from the Strategic Research Center who had participated in training traveled to Almaty to observe economic and privatization reforms in Kazakhstan. Upon their return, they organized a series of five-day seminars, which took place concurrently in the Leninabad and Khanton oblasts.

The topics included: infrastructure of a market economy, developing credit mechanisms, state support to small entrepreneurs, investment development, and economic restructuring. Hundreds of local government officials, state managers, and small- and medium-size businessmen attended these sessions, held in a variety of settings, such as government offices, universities, factories, plants, and farms.

This event accomplished two objectives: The instructors helped institutionalize the training they received by training others; and a wide range of professionals gained a comparative view of how economic restructuring has been implemented in the United States and in Kazakhstan.

The success stories and results mentioned above are representative of effective initiatives undertaken to restructure the Tajik economy and revitalize industries. The initiatives focused on the role of the public sector, investors, and employees. Training prepared the participants to develop economic initiatives and provided them with the skills and resources to establish innovative mechanisms to bring about changes that promote economic growth.

"The guiding factor for successful planning is a focus on the intended use for the training once an individual has returned home."

NIS Exchanges and Training Project

NIS Exchange Highlights
September 1996

DEMOCRACY AND GOVERNANCE
Strenghthening Municipal Governments

USAID\Bolivia

Background

Since 1995, USAID/Bolivia's training and follow-on activities have been designed and carried out in strict relationship to the achievement of the Mission's strategic objectives. USAID/Bolivia's democracy SO team provides technical assistance to several key institutions to help them develop more efficient, accessible, and transparent procedures. The SO team determined that a critical mass of administration of justice (AOJ) professionals required targeted training in order to effectively carry out important reforms in the sector.

The USAID strategic objective for democracy reads:

> *Social base of democracy broadened and governance strengthened.*

The three intermediate results are:

1. *Key elements of rule of law become more transparent, efficient, effective, accountable, and accessible.*

2. *National representation becomes more responsive to constituent needs and demands.*

3. *Local governments effectively respond to citizen needs and demands.*

Training Model

Through 1995, most of the training in the sector took place in-country. When results frameworks and intermediate results were developed, it was determined that exposure to the U.S. justice system was critical to acquaint Bolivian professionals with different AOJ mechanisms, procedures, and techniques. The training activity described in this case study was linked to IR 1, and took place between September 1996 and March 1997.

A generic training model applied to all training activities was developed for the Bolivian Peace Scholarship Program under CLASP (Caribbean and Latin America Scholarship Program, USAID's major funding source for training activities conducted in the region).

The five key elements in the training model are as follows:

1. Training objectives are defined with a clear focus on results. SO teams and partners work together to define the training program and to select participants.

2. Selection of candidates takes into account their role and their potential to become change agents in support of results sought in their sector.

3. Development of action plans and team building take place during predeparture orientation.

4. Intense and concentrated short-term training programs. Creating a critical mass of trained individuals through group training has been the preferred training model. Tailor-made training is designed to provide the best hands-on and practical programs to meet specific trainee/country requirements. Training programs also include a broad range of cultural and human interactions.

5. Follow-on programs promote, facilitate, and encourage the multiplier effect, results-achieving activities, and networking among returned participants.

AOJ Training Activity under Intermediate Result #1

1. Training objectives. Themes and areas of specialized training were defined along requirements outlined under IR 1: key elements of rule of law become more transparent, efficient, effective, accountable, and accessible. The specific objectives were:

Oral prosecutorial training

- To equip participants with skills and hands-on experience related to procedures and techniques under the oral prosecutorial criminal system, such as jury selection, evidence collection, interrogation, and public defense.

- Upon conclusion of training, the participants were expected to be able to apply the concepts and techniques learned in the implementation of the oral prosecutorial system.

Alternative dispute resolution training (ADR)

- To provide hands-on experience to participants working in ADR in the public and private sectors with conciliation, mediation, and arbitration techniques used in the United States.

- Upon conclusion of training, the participants were expected to introduce into their institutions the mechanisms, procedures, and tools used in ADR to reduce the burden of unnecessary trials of cases that could have been resolved via mediation.

2. Selection of candidates. Selection of judges, prosecutors, public defenders, and mediators was made in coordination with government partner institutions. Key individuals in all nine departments of Bolivia who advocate reform and had the potential to become change agents in the implementation, promotion, and efficient management of AOJ reforms were identified.

3. Predeparture orientation. During predeparture orientation (two to three full days per group) participants had a chance to become acquainted and learn to think as a team, provide their expert views, assess the problems in the justice sector, and develop action plans.

4. Intense and concentrated training. U.S. universities designed three short-term courses that addressed specific Mission requirements in AOJ subject areas. In addition, a member of the training team visited Bolivia to become familiar with the participants, the AOJ environment in the country, and USAID staff. The participants were trained in the United States as a group, had on-site counterparts, participated in hands-on activities, and engaged in numerous cultural activities that exposed them to a wide range of U.S. democratic practices.

5. Follow-on program. Debriefing information from returned participants was used to improve or make adjustments to upcoming training programs. All the participants returned to their former jobs, and a few received promotions.

Results

Results achieved by participants in ADR and oral prosecutorial training:

✓ Legislation on arbitration and conciliation was approved in March 1997, which includes a special article enabling the creation of Conciliation Centers throughout the country. This article was written and promoted for inclusion in the legislation by the ADR training participants.

✓ A conciliators' manual was developed by three of the returned participants and distributed extensively throughout urban and rural areas.

✓ Support committees were created in three departments of the country to promote the use of ADR.

✓ The Bolivian criminal process calls for the use of oral prosecutorial mechanisms, but judges and prosecutors are not familiar with their use. Following training, one judge resolved 25 cases in only one month using these techniques.

Multiplier Effect Activities

The following activities took place within two to four months after training:

- ✓ Four seminars on the oral prosecutorial system were conducted, training an additional 420 judges, prosecutors, and public defenders.

- ✓ Three workshops were conducted on ADR concepts and techniques, training an additional 90 specialists.

- ✓ One judge published a series of 12 articles in a major newspaper describing the contents, methodology, procedures, and applicability of the oral prosecutorial system in Bolivia.

- ✓ A prosecutor produced a training manual describing and analyzing the major features of the oral prosecutorial system and its applicability to Bolivia.

It should be noted that returned participants have achieved concrete results and implemented several multiplier-effect activities in less than six months following their training. The Mission anticipates that in upcoming months, once the Criminal Procedures Code is passed, participants will increasingly apply oral prosecutorial system procedures. The democracy SO team maintains regular contact with the stakeholders and partners who sponsored the ADR and AOJ trainees to promote, encourage, and monitor the application of the skills acquired during training.

HEALTH
Improved Quality with Equity in Health

USAID/El Salvador

Background

El Salvador's centralized health service delivery system concentrates the bulk of its services in the San Salvador metropolitan area, where the majority of physicians from the public and private sectors practice medicine. Thus, the rural population lives in areas that are relatively inaccessible to medical services.

Traditionally, health service providers in the public and private sectors (particularly NGOs) have not worked together and have tended to mistrust one another. A fundamental problem of the public health system has been its emphasis on curative rather than preventive medicine. Many NGOs, on the other hand, have well established community outreach and public education programs. This, combined with the fact that NGO personnel live in the communities in which they serve, makes them powerful proponents and instruments of preventive health care. The Ministry of Public Health and Social Assistance (MSPAS) staff has not taken full advantage of what these NGOs have to offer to El Salvador in terms of reform of the national health care service delivery system.

Although the majority of managers and supervisors working in the public health care system are qualified and educated, the government realized that to implement system reforms it must be able to count on a critical mass of managers who are well versed in new concepts and techniques that will support a complete modification of the system.

The USAID strategic objective for health reads:

> *Sustainable improvements in health of women and children achieved.*

The three intermediate results are:

> *1. Increased use of appropriate child survival practices and services.*
>
> *2. Increased use of appropriate reproductive health practices and services.*
>
> *3. Enhanced policy environment to support sustainability of child survival and reproductive health programs.*

Training Strategy

In consultation with MSPAS, the Salvadoran Social Security Institute (ISSS), health NGOs, and training specialists, a comprehensive U.S. training program was designed for 110 participants in five separate groups. The participants were drawn from the MSPAS, ISSS, and NGOs; the majority of them held mid-level management positions—regional supervisors, financial managers, health unit administrators, division chiefs, project coordinators, and head nurses. The thrust of the program was to provide participants with the technical skills necessary to design and implement programs to improve the delivery of health services throughout the country. Trainees were exposed to different models of the administration of health services, successful and unsuccessful reform efforts, and effective coordination mechanisms carried out by the public and private sectors.

Specifically, the program focused on:

- Role of health service organizations
- Decentralization of services
- Human resources management
- Financial resources management
- Cost-effective health services
- Participatory mechanisms in health service delivery
- Advances in areas of health care reform
- Integrated management information systems
- Health economics

Eight Steps that Modify Training Activities to Meet Reengineering Guidelines

The following eight steps indicate the sequence of events identified by the Mission that need to take place during the training process:

- Strategic planning
- Needs assessment
- Specific purpose of training
- Training design
- Selection of participants
- Training
- Follow-on
- Monitoring and evaluation

The chart on the next page illustrates the interconnection of the eight steps and their corresponding activities.

Note: Chart was translated from Spanish by the author: *Ocho pasos en los que las actividades de capacitación deben cambiar para responder a la reingeniería.*

EIGHT STEPS THAT MODIFY TRAINING ACTIVITIES TO MEET REENGINEERING GUIDELINES
USAID/El Salvador

Strategic Planning
- ♦ Involvement of stakeholders
- ♦ Strengths, weaknesses, and limitations
- ♦ Options
- ♦ Goals, results

Needs Assessment
- ♦ Performance assessment
- ♦ Gaps in skills, knowledge, and attitudes (SKA)

↓

Specific Purpose of Training
- ♦ Institutional goals
- ♦ Agreements with stakeholders address intermediate results

↓

Training Design
- ♦ Customized
- ♦ Adult training techniques
- ♦ Experience in total learning
- ♦ Action plans

Monitoring and Evaluation
- ♦ Performance indicators are determined during the strategic planning phase
- ♦ Continuous monitoring

↑

Follow-on
- ♦ Action plans
- ♦ Multiplier effect
- ♦ Continuous education
- ♦ Planned at the beginning

↑

Training
- ♦ Follows the design
- ♦ In-country, third country, in the U.S., or at the workplace
- ♦ Integration of leadership skills
- ♦ Innovative, participatory, and dynamic methodologies

Selection of Participants
- ♦ Directed to target population
- ♦ Geared to several hierarchical levels
- ♦ Development of change agents
- ♦ Critical mass

All of these steps require shared responsibility and mutual collaboration between the training unit and the strategic objective teams.

Comments on the eight-step design:

- ✓ Training is effective if planned with full participation and involvement of all stakeholders (trainee, institution, institutional contractor, results package team, and the training unit).

- ✓ Training is more likely to bring desired results if the follow-on component is planned at the design stage.

- ✓ Training needs to be fully integrated into the local institutional plans.

- ✓ Training, if well-designed, implemented, applied, and transferred, can be an effective and powerful tool whether used for an academic institution, an NGO, a community group, or a government institution.

- ✓ Training can be tested on a pilot basis, modified, and expanded to cover an entire government sector or institution.

- ✓ Lessons learned can be capitalized upon and applied to new initiatives with modifications, improvements, expansions, and creativity.

- ✓ Human Capacity Development is an investment that is intended to remove individual and institutional performance constraints and contribute to the achievement of results and/or objectives. The final goal is sustainable development in the institutions the Mission works with to benefit Salvadoran people.

Results

Specific examples of changes and improvements to public health care services as a result of the training program include:

- ✓ A doctor at a medical unit reports that the hospital's administrators now rely heavily on feedback from both employees and clients to monitor and evaluate service quality. The hospital has installed suggestion boxes for client evaluation.

- ✓ Another doctor started a public relations department, something no other ISSS facility has. She opened a desk next to the main entrance, so that staff she personally trained are able to respond to client requests or problems as soon as they enter the hospital.

- ✓ One of the MSPAS doctors has set up a visiting nurses system through his newly established close working relationships with community leaders and local NGOs.

- ✓ The director of an NGO considers that the greatest achievement of the training is that staff have learned to accomplish more through working together. The NGO has since been working with ISSS to review patients and make recommendations for medical care. This had never been the case before.

The ministry has recognized the potential of a number of former training participants by promoting them within the ministry. The MSPAS is now ready to proceed with modernization, and the training program has supported the ministry's plan for modernization.

For the ISSS, which provides health care services to workers and their dependents, the most significant improvement has been in the decentralization of the decision-making and problem-solving processes. Unit personnel are now much more conscious of what they have, what they need, and what they can obtain. On the service provision side, the biggest change has been the focus on client satisfaction. ISSS participants have put together a complete training package for employees in all units, which includes sessions on leadership and Total Quality Management. They have been conducting training for several months and are using videos developed specifically for the training.

A new vision exists for the health care service delivery system in El Salvador. The process of decentralization had an impact on not only administrative and financial procedures, but on treatment and service strategies as well. The linchpins of the improved public health care system are:

- ✓ A client-centered approach. This reconfiguration of self-image reflects a shift in the hierarchy of priorities, from responsibility to central government agencies and policies to accountability to the client base, the Salvadoran public. Feedback from patients is solicited and is instrumental in defining needed changes in institutional policies and procedures.

✓ Preventive rather than curative medicine. Government health care service providers are launching large-scale public education campaigns to convey to people that their health is also their responsibility, not just the government's. These campaigns are conducted through community-level talks given by health promoters, and public events such as health fairs.

✓ A realization of the importance of collaboration with NGOs and an appreciation of the richness of human resources in the private sector and at the community level. For MSPAS and ISSS, the benefits of this new relationship have been twofold:

a. Closer linkages with community-based NGOs mean closer ties to the communities themselves, especially those in remote rural areas. This means faster service access to these communities, as well as public education programs and a greater acceptance on the part of community members.

b. Public sector agencies can take full advantage of NGO clinics and other services, given their focus on prevention. Better preventive health programs ultimately mean that fewer seriously ill patients need to go to public hospitals, which also results in an economic savings for the public sector.

Performance Indicators established by USAID/El Salvador

USAID/El Salvador has capitalized on lessons learned from CLASP (Caribbean and Latin American Scholarship Program) training projects and has systematically built upon the successes achieved. For the new Human Capacity Development (HCD) activity due to start in FY 1998, all of the elements of success according to the Mission's strategic objectives/results packages will be included.

For performance and impact monitoring of the new HCD activity, the Mission has established three main training indicators as follow:

1. Trainees applying elements of their training to the workplace (expressed as percent)

   This indicator measures the impact of training in the workplace by evaluating whether trainees apply elements of their training. Information is obtained from trainee self-evaluation as well as from selected supervisor evaluations. Baseline data is to be collected in 1997.

2. Trainees with increased responsibilities (expressed as percent)

   This indicator measures the impact of training in the workplace by examining whether trainees assume greater responsibilities. Only those trainees with increased responsibilities related to their training will be considered. Information is obtained by trainee self-evaluation and supervisor evaluations. Baseline data is to be collected in 1997.

3. Trainee action contracts executed within six months of training (expressed as percent)

This indicator measures the impact of training in the workplace by examining whether trainees successfully complete their action contracts. These action contracts are agreed upon by both the individual trainee and his or her institution and involve the implementation of measurable activities. Baseline data to be collected in 1997.

Data for each indicator will be collected on a rural/national and male/female/total basis.

EDUCATION
Increased Girls' Basic Education

USAID/Morocco

Background

In rural Morocco, only 22.5 percent of girls enroll in primary school and four out of ten girls complete the sixth year of the primary cycle. Many rural schools have multigrade classes, while most primary school teachers do not have the pedagogical background and practical skills necessary to teach in these settings. The coursework offered at the teachers' training colleges does not include multigrade teaching techniques; nor do student teachers acquire the skills necessary for adapting the curriculum to local needs or making it gender sensitive.

Faced with this situation, the Ministry of National Education (MNE) has developed the Rural School Development Program (DSMR) to improve rural primary education in Morocco. In partnership with parents, students, communities, local authorities, ministries, and NGOs, the DSMR has set out to revolutionize rural education by improving the quality and relevance of primary education and integrating primary schools into the communities. USAID, along with other donors,[4] is assisting the ministry in implementing this strategy, which will target the 13 most disadvantaged provinces in the country, as identified by the World Bank and the government.

USAID's first initiative in support of the MNE strategy is a training activity that consists of testing new teaching interventions in 20 schools located in five of the 13 pilot provinces.

The USAID strategic objective for girls' education reads:

> *Increased basic educational attainment among girls in selected rural areas.*

The three intermediate results are:

> *1. Increased responsiveness of the primary school system to girls' educational needs.*
> *2. Increased community involvement in girls' education.*
> *3. Reduced operational constraints to girls' participation in primary school.*

The training activity described here was developed in support of the first IR and, more specifically, the two mentioned below:

> *- Multigrade, gender sensitive, locally relevant curriculum developed.*
> *- Cadre of competent educators developed.*

[4] Other donors include UNICEF, UNDP, the World Bank, and the French government.

Training Strategy

Under USAID's Training for Development project, an ambitious training plan was designed to improve the teaching methodology in rural areas and to make the school system more responsive to the needs of the regions. A series of in-country training interventions have been implemented since the beginning of the current school year and will continue to take place over the next one and a half years (1997 to mid-1998). The primary focus is to provide educators with the necessary skills to develop effective teaching objectives, adapt locally relevant and gender-sensitive curriculum, and manage multigrade classroom settings.

The core training group consists of primary school teachers, inspectors, school directors, and faculty at the Teacher Training College, faculty who work in the pilot regions, as well as ministry staff.

The five major components of the training strategy are outlined below:

1. Assessment of human resource constraints and performance gaps
   (see table on next page)

2. Identification of training skills and teaching techniques necessary to fill the performance gaps

3. Identification of training results and impact indicators, including preconditions to impact

4. Establishment of *Witness Schools* to serve as control groups

5. Development of mechanism for systematic collection of education data developed

1. <u>Assessment of Human Resource Constraints and Performance Gaps</u>

Based on a joint effort involving MNE and USAID staff and training specialists, the training needs of primary school teachers, inspectors, and directors were assessed. A plan was also designed to determine what skills are needed to enable rural primary schools to offer a relevant and participatory curriculum and what performance gaps prevent this from happening.

The following table illustrates the human resource constraints and performance gaps identified under each of the two lower intermediate results.

TABLE IX **HRD Constraints and HRD Gaps**

Lower Intermediate Results	HR Constraints	Training Events - 1997	HR Gaps
Multigrade, gender-sensitive, locally relevant curriculum developed	· lack of baseline data to measure how much curriculum adaptation has been accomplished · lack of parental input in focus groups to discuss priority needs in curriculum adaptation · lack of gender-sensitive materials, ethics, and pedagogy in teaching colleges	· pilot school teachers and professors in multigrade classroom workshops 3/97 · management skills workshop for teachers in each of the pilot regions 4/97 · curriculum adaptation in the pilot regions 5/97 · teacher conferences 7/97	· lack of awareness among community leaders, parents and urban teachers about the importance of recruiting and keeping girls in school · lack of female teachers and administrators from the local or urban areas · lack of research skills for ongoing quantitative and qualitative data collection
Cadre of competent educators developed	· teachers' lack of experience in student-oriented classrooms · teachers' lack of experience in adapting classroom progress based on student abilities · teachers' attitude and lack of enthusiasm for working in rural settings · lack of teaching materials and creative supplies · inadequate analysis of teacher recruitment and placement	· curriculum adaptation for central team teachers in Rabat 9/97 · multigrade classroom techniques for teachers in the pilot schools 10/97 · curriculum adaptation for teachers in the pilot schools 11/97	· lack of management skills for ongoing monitoring to motivate, inform, practice, and apply workshop experiences · lack of a school philosophy that reflects different realities and takes into consideration introduction of students to a second language · absence of a reward system that recognizes excellence in teaching and creativity · absence of a teacher support network to help teachers feel connected nationally

2. Training skills and teaching techniques

The following training skills and teaching techniques were identified as necessary to lay the groundwork for increased responsiveness to girls' educational needs:

- Evaluation techniques to identify and analyze pedagogical objectives
- Management skills for application to pilot school operations
- Action plan development skills and techniques
- Training management skills
- Participatory teaching techniques
- Gender awareness

3. Training results and impact indicators

Qualitative and quantitative indicators were developed to measure the skills, knowledge, and attitudes of the participants, as well as the number of primary schools offering an improved multigrade curriculum.

- *Evaluation strategies to identify pedagogical objectives adapted by inspectors and faculty of selected teacher training colleges (TTC)*

  Training indicators: Number of teachers adapting curricula to local circumstances. An increase in the number of lessons created based on pedagogical objectives.

- *Management skills of inspectors and ministry staff improved*

  Training Indicators: Increase in use of established communication channels; increase in skills development for managing change through group work.

- *Creative and practical action plans developed*

  Training indicators: Number of decisions made locally and autonomously based on action plans.

- *Quality and quantity of managing training increased*

  Training indicators: Percentage of teachers capable of managing space, time, varying conditions for multigrade and multiage classrooms in rural areas.

· *Experience and confidence gained as skills improve*

Training indicators: Percentage of teachers capable of identifying objective of lesson in national books and developing lesson design and planning trimester. Number of schools that become self-managed as teachers, students, and community become involved.

· *Awareness of gender-sensitive classroom increased*

Training indicators: Number of girls responding to creative change in school environment that encourages them to stay in school.

4. Witness Schools

In each of the five pilot areas, a witness school was set up to serve as a control group. Staff at this school will not be involved in the training, nor will the school receive any assistance. Statistics will be gathered from these schools to compare and analyze against the performance of the pilot schools.

5. Mechanism for systematic collection of educational data

Annual targets have been established to determine enrollment and retention rates. USAID will acquire the Education Automated Statistical Information System Toolkit (ED*ASSIST) to collect, analyze, and report data. ED*ASSIST is an integrated set of tools designed to assist ministries of education in planning and implementing systems used to collect educational statistics in a timely, efficient, and reliable manner.

TRAINING
Enhancing the Human Resource Base of Nongovernmental and Governmental Organizations

USAID/Namibia

Background

At independence, in March 1990, the new government of the Republic of Namibia inherited a legacy of apartheid policies. Virtually all the country's natural resources and most of its social services had been directed primarily to a five percent minority of the most advantaged sector, while the needs of the majority of the population were largely neglected. This created a dual economy in the classical colonial mode with wide disparities in income and resource allocations. Seven years after independence, Namibia continues to struggle to overcome this economic and social heritage.

Over the past five years, approximately 70 percent of USAID/Namibia's resources have been invested in education and training. The goal of USAID's assistance program is "the strengthening of Namibia's new democracy through the social, economic, and political empowerment of Namibians historically disadvantaged by apartheid." (Results Review, 1997)

In keeping with the strategy to use PVOs and local NGOs to address the development needs in Namibia, USAID initiated in FY 1992 a five-year NGO capacity building program. This project, entitled Reaching Out with Education to Adults in Development (READ), was designed to provide a combination of grants, training, and technical assistance to NGOs to increase their capacity to deliver services and education to historically disadvantaged adults. This case study focuses on the training component of this integrated support effort.

USAID/Namibia SOs address the need to develop long-neglected human resources. One SO in particular places emphasis on fostering and strengthening the human and institutional capacity of local NGOs engaged in adult training and/or civic advocacy across a wide range of sectors. While the READ project addresses two of the Mission's four SOs, its training component falls primarily under the one listed below:

The USAID strategic objective for increasing the skills of NGO personnel reads:

> *Enhanced roles for historically disadvantaged Namibians in key public sector, NGOs, and private sector organizations.*

The two intermediate results are:

1. *Increased number of historically disadvantaged Namibians acquiring enhanced managerial and technical skills and knowledge.*

2. *Improved access for trained historically disadvantaged Namibians to technical, managerial, and leadership positions.*

Training Design

In the last three years, the READ project has provided training to 400-plus participants through a combination of workshop series, individual sectoral workshops, conferences, and seminars. Early evaluations indicated that training impact was greatest in the areas where participants had the opportunity to acquire targeted skills, apply these skills during field assignments in their organizations, and return to share their experiences. Thus, the core of the overall training design lies within three separate workshop series designed to increase both the technical skills and professional qualifications of NGO personnel, as well as enhance their ability to transfer these new skills to others. Participants were selected from the staff of approximately 40 NGOs and two government ministries. Most training programs were designed and cofacilitated with NGO input. In the case of the training of trainers (ToT) series, building institutional capacity within NGOs to implement these workshops in the future has been a central part of the overall implementation strategy.

The components of the training are as follows:

Institutional building workshop series

Participants: An average of 20 NGO managers and administrators

Design: This is a three-month workshop series designed to strengthen the organizational development skills of NGO management. It was first offered in 1993/4 as an introductory series to both build skills and orient NGOs to READ project activities. It is currently being redesigned into a broader Organizational Development/Capacity Building series slated to be offered in 1997/8. The three areas covered in the first series were:

Institutional assessment. Covers review and assessment of NGO mission, goals, structure, planning, HRD activities, programs and services, financial resources, evaluation, and overall program management. Analysis and review of NGO stakeholder expectations are also addressed as part of the overall organizational assessment.

Action planning. Participants review and analyze the institutional assessment data collected during the field assignment and develop action plans to address the critical concerns identified.

Project development and proposal writing. Participants review terminology and components of proposals and acquire proposal writing skills.

Training of trainers (ToT) workshop series. Initially designed and offered in 1994/5, this series has had a noticeable impact and has been in high demand ever since. It was also conducted in 1996 and 1997, and plans exist for offering it again in 1998. After the first year, the process of transferring responsibility to Namibian NGO partners for implementation and building master trainer skills was actively undertaken. The 1997/1998 ToTs will be offered by the local NGOs.

Participants: Experienced training staff of NGOs where the need to build capacity for exemplary participatory training skills and curriculum development has been prioritized.

Design: Spanning a period of 10 months, this comprehensive training in participatory training skills and curriculum development consists of four intensive two-week workshops with three field activities. The following topics are covered in the workshops and field assignments:

ToT 1: Introduction to participatory training. Participants acquire the skills to facilitate participatory training programs, design session plans and support materials, and develop a training needs assessment. The first field assignment involves implementing the training needs assessment.

ToT 2: Curriculum and materials development. Participants learn to develop training curricula and supporting teaching materials based on the needs of the target population. For the second field assignment, participants work in teams to pretest the training curricula developed during the course and gather information for the next session.

ToT 3: Curriculum and materials modification. Participants modify the training curricula and materials based on the above field pretesting activity. In addition, they translate each curriculum into a complete training manual. During the third field assignment, participants assess the impact of their training and provide technical assistance and follow-on support to their target participants.

ToT 4: Expanding training impact. Having completed the workshop series, participants take time to reflect on their personal growth and the impact their increased skills have had on their organizations. Analytical, training, and colleague support skills are refined, and participants develop plans for implementing skills and expanding organizational training capacity.

AIDS training of trainers workshop series

Participants: Health workers and trainers of NGOs that are working in the field of HIV/AIDS education.

Design: This series of workshops provides trainers with the skills to assist target groups in developing and implementing community-based AIDS programs (CBAP). The series consist of three two-week workshops with a three-month break for field work.

The workshops are planned as follows:

ToT A covers three aspects that serve as the foundation of a community-based program: establishing a CBAP, participatory training methodology, and facts about HIV/AIDS.
During the field work exercise, participants implement the major steps in establishing a CBAP, namely: community identification, needs assessment, community mobilization, and sensitization of community leaders.

ToT B equips participants with the skills to train community groups, develop training materials, and facilitate community ownership of programs. The topics covered include community training practice, group dynamics, materials development, and networking.
During the field work exercise, participants continue to work on establishing a CBAP by mobilizing communities to select AIDS educators and elect AIDS committees.

ToT C provides trainers with the skills needed to foster community ownership of the program and to monitor and evaluate community-based programs. The main topics covered include: basic counseling skills, fostering community ownership, community coping strategies, monitoring and evaluation, and phase-out of NGO support. As part of the field work exercises, participants provide training to AIDS educators, equip community members with the skills to evaluate the program, and design ways to sustain the program in the future.

Upon completion of the core ToT, participants' mastery of technical skills and leadership qualities are assessed based on the following areas of expertise: knowledge of training theories, facilitation skills, curriculum development skills, materials development skills, analytical skills, knowledge of training content, training implementation and management skills, communication and interpersonal skills, needs assessment, and monitoring and evaluation skills. The ability of participants to demonstrate and apply these skills qualifies them as Certified Participatory Trainers. HIV/AIDS Trainer Certification is based on similar

criteria with decreased emphasis on curriculum development and analytical skills and increased emphasis on comprehensive HIV/AIDS content knowledge. Completion of these ToT training series qualifies participants to develop and deliver participatory training and help others within their organizations do the same.

To effectively transfer implementation responsibility to NGOs, a parallel training and technical assistance strategy was introduced. A cadre of Master Trainers was selected within partner NGOs that had accepted the invitation to take on responsibility for the ToTs. This program is described below:

Master trainer support

Participants: Training staff of NGOs who have participated in a workshop series and expressed an interest in cofacilitating training for other NGO trainers.

Design: This intensive and targeted support involves working closely with trainers in the design and implementation of training courses for NGO staff. This support spans a period of not less than 12 months and consists of:

Practical Training, Part I: Initial priority is given to refining and enhancing the trainer's participatory training facilitation and implementation skills. Practical involvement in the design, redesign, and effective implementation of a successful training series is the primary focus.

Master Trainer Skills Deepening Workshop: Trainees participate in a 5-day workshop guided by specific trainer needs and the skills and knowledge indicators set out in the skills inventory.

Successful completion of above workshops entitles participants to certification as Master Trainers.

Practical Training, Part II: In cases where Master Trainers are based with organizations that are responsible for taking over training series implementation, additional technical assistance and on-the-job training is provided to improve their management skills and to equip them to develop and adapt MIS and M&E systems.

In addition to the above, the READ project has actively supported the establishment of a National Trainers Network for Namibia. This network will help maintain, expand, and build on connections established during training between individuals and organizations involved in training in the country. Also, to help the Ministry of Education deal with nonformal and participatory approaches to education and to enable them to interact with NGO efforts in the country, the READ project sponsored four staff of the Directorate of Adult Basic Education to participate in the ToT series, and an additional five staff to attend a Master's degree program at the Center for International Education, University of Massachusetts.

Monitoring and Evaluation Tools

Table X **Mechanisms Used to Monitor and Evaluate the Effectiveness and Impact of the Training Program**

Tool/Activity	Purpose	Computer-Based Information on:	Implementation Time Table
ToT Needs Assessment Questionnaire	To collect background/baseline information on needs of potential training participants.	MS Access Database	Beginning of training cycle
Participant Assessment: ToT Self Assessment Forms, HIV/AIDS Training Appraisal Form, Daily Evaluation/ Steering Committee session designs	To track progress of training through formative evaluation mechanisms and self-assessment tailored to the training topics and objectives	Lotus 123 spreadsheet and MS Access Database	ToT 1 (pre & post) & ToT 4
Training Activity Reports	To document relevant information on Participation in Training Activities conducted under READ sponsorship	Lotus 123; Training Activity Spreadsheet	End of training activity
Trainer Skills Inventories: Master Participatory Trainer, Certified Participatory Trainer, (HIV/AIDS Trainer)	To document and monitor skill levels required for trainer/ participant certification	MSWord list and forms	Beginning of/during/end training program
Training Impact: Trainer Profiles *The Trainer's Net* (newsletter). Articles, list of participants, shifts in responsibility, and other mechanisms	To document the impact of participatory training on participants and their NGO clients	MSWord merge File + MSAccess Database	To be completed and discussed within one month of conclusion of training
List of READ Project Training Materials	To monitor READ-initiated contributions to participatory Namibian training literature.	MS Word list	Upon publication printing of manuals
Impact Assessment Matrix	To identify the impact of project inputs—training, technical assistance and subgrants—at the participant, organization, and clients of organization levels.	MS Word files	Yearly

Results

Ten of the 37 individuals who participated in the core ToT series have received official promotions. Of the 76 participants in both ToTs, the majority report an increase in job responsibilities and productivity. As a result of the increased commitment, effort, and skill level that ToT graduates bring to their responsibilities, the management within their organizations look to them to contribute outside their areas of responsibility. Thus, while position titles may not change, in the majority of cases, participants report that their responsibilities and status within the organization have expanded as a result of their increased skills and ability.

Following are examples of how participants have applied their skills in their organizations:

- ✓ In addition to the eleven manuals produced during the ToT workshops, five participants from ToT'95 and ToT'96 have designed, produced, and published participatory training curricula and manuals for their organizations. These manuals are used in training and cover topics ranging from Training of Business Trainers, Training of Community Development Committees, and Training of Teachers.

- ✓ A female participant from the Ministry of Education was appointed acting head of the Training Division. As one of her innovations, she designed and implemented nationwide regional training workshops for promoters to introduce new formats and mechanisms for lesson planning based directly on content introduced during ToT training. As a result, literacy promoters now focus on techniques, have a greater understanding of what they should do, recognize what materials they need, and conduct more effective literacy lesson lessons.

- ✓ A participant from ToT'97 was promoted to Head Trainer in a local NGO and has integrated content learned during the ToT into the organization's core training offered to field workers. He incorporated some of the ToT's more challenging topics and tools for training design and analysis.

- ✓ A trainer who moved from an NGO to a parastatal organization was elected as the first woman president of a trade union in Namibia. She attributes this promotion to her dedication to bringing broader support from private and parastatal organizations to the development efforts of the NGO community. To accomplish this, she applied the networking skills she acquired during the ToT.

- ✓ Staff of the Ministry of Education and two NGOs are working together in TOT'97 to develop a training curriculum for English promoters from both organizations to strengthen skills in planning participatory English lessons. A primary product of this collaboration will be a collection of sample lesson plans based on the current English language texts used in adult literacy classrooms. Overall, networking between the ministry and literacy NGOs has expanded considerably as a result of contact initiated through the ToT series.

- ✓ The Red Cross reports that its ability to serve its mission in general and to undertake HIV/AIDS education activities in particular have dramatically improved since trainers have completed the HIV/AIDS ToT series. Due to the impact realized through the introduction of a community-based approach, they are now in the process of extending the community-based approach to the implementation of their first-aid training.

Since the ultimate beneficiaries of this development intervention are the clients of the NGOs (men and women living in rural and urban communities throughout Namibia), the real test of training impact lies in the results found at this final level. Trainers report that the introduction of participatory training skills empowers people to take actions that have a direct impact on increased income, leadership, community development, and advocacy efforts.
A few specific examples follow:

- ✓ Workers who are members of the Namibia Food and Allied Workers Union (NAFAU) are demanding that their companies sign HIV/AIDS policy agreements with the Union to protect the rights of workers.

- ✓ Small Scale Entrepreneurs disenchanted with their inability to get loans from the banks persistently approached their branch in Katutura and, with the help and support of COSEDA, their credit support NGO, encouraged the bank to reconsider its policy on loan size.

- ✓ HIV/AIDS Committees are taking leadership and responsibility for mobilizing their communities against HIV/AIDS. HIV/AIDS Community Educators are actively contacting community members and interacting with traditional healers to change high-risk practices and behaviors. The transition of control is sucessfully passing from the initiating NGOs to the community bases as planned.

In general, analysis of such reports supports the contention that this new approach to training has planted seeds which continue to grow and encompass broader areas. In the process, it effectively supports the growth of democratic interactions and a strong civil society.

Documenting Training Practices - TraiNet

The numerous contractors and grantees involved in designing and implementing training programs employ a wide variety of reporting procedures, mechanisms, and formats to record training-related information. The lack of a consistent, standardized reporting practice has resulted in duplicate or incomplete data, making it impossible to account accurately for training costs, number of participants trained, or results achieved.

*The Training Results and Information Network,TraiNet,*designed by Development InfoStructure in conjunction with G/HCD and M/IRM, represents an Agency-wide information management system for training that responds to reengineering practices. *TraiNet* will provide a consistent framework for systematic data input and collection, and enable quantitative and qualitative analyses of training practices using consistent, standarized data formats. It will be used at several levels: For administrative and financial issues, users will be able to automatically enroll trainees in health insurance, track departures and returns, and monitor costs. At the design, implementation, monitoring and evaluation levels, training staff will be able to record as well as access information and practices pertaining to all stages of training.

TraiNet, with greater applicability and fewer data entry requirements, will eliminate the Participant Training Management System (PTMS); the Participant Data Form (PDF), the Project Implementation Order/Participant (PIO/P), biodata, statement of expenditures, and budget worksheets. As the information evolves through the various stages of training, the data will be submitted and included in the *TraiNet* database. Development InfoStructure will receive this information and update the web page on a regular basis, <www.devis.com/traiNet>.

Implementation: During Phase I (October 1996-February 1997), *TraiNet* was designed and installed on the Intranet in USAID\Washington. Field testing started during Phase I and was expanded during Phase II with visits to five Missions. Phase III—full installation—is scheduled to start in January 1998 through a series of regional training workshops and country visits. Working with G/HCD, Development InfoStructure will forward to stateside contractors and to <u>all</u> Missions an information packet detailing the installation, use, and maintenance of the *TraiNet* database. Contractors who do not receive this packet should contact Development InfoStructure at (703) 525-6485 or <trainet@USAID.gov>.

The importance of documenting and updating this information on a regular basis cannot be overemphasized. As the Agency transitioned from project-level activity to strategic objectives, much of the information crucial to conducting research remains in the field and can no longer be accessed through the USAID Development Experience System database, the Agency's central repository of information. The performance tracking and reporting capabilities of *TraiNet* will enable field and Washington staff to document and report activities, generate centralized reports, as well as analyze and exchange information with the intent of enhancing efficiency and learning from experience.

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Training-Related Internet Sites

www.astd.org - Site of the American Society for Training and Development, one of the leading sources in the field of training and human resource development. Provides research, analysis and practical information. See under *Site Index* for links to a wealth of resources.

www.shrm.org - Site of the Society for Human Resource Management; provides resources similar to those of ASTD.

www.tcm.com/trdev - Provides links to a vast array of non-commercial sites, three on-line bookstores, and commercial suppliers. Links to Trdev-L, an excellent listserv (internet discussion group) created and managed by Penn. State University.

www.trainingsupersite.com - This is an integrated site that provides training resources including links to numerous publishers and the Training Magazine.

www.universityassociates.com - University Associates provides consulting and training services and products. Click under *Books and Materials* for an excellent selection of resources.