

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D.C. 20523

PROJECT PAPER

INDIA

DEVELOPMENT AND MANAGEMENT TRAINING

MAIN TEXT AND ANNEXES

USAID/NEW DELHI

SEPTEMBER 1982

UNCLASSIFIED

AGENCY FOR INTERNATIONAL DEVELOPMENT  
PROJECT DATA SHEET

1. TRANSACTION CODE  
 A = Add  
 C = Change  
 D = Delete  
 Amendment Number

DOCUMENT CODE  
3

2. COUNTRY/ENTITY  
INDIA

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386-0487

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ASIA

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DEVELOPMENT & MANAGEMENT TRAINING

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)  
MM DD YY  
06 30 87

7. ESTIMATED DATE OF OBLIGATION  
(Under "B" below, enter 1, 2, 3, or 4)  
 A. Initial FY 82 B. Quarter 4 C. Final FY 84

8. COSTS ( \$000 OR EQUIVALENT \$1 = )

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	( 2,400 )	( )	( 2,400 )	( 6,100 )	( )	( 6,100 )
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S.						
1.						
2.						
Host Country		800	800		2,100	2,100
Other Donor(s)						
<b>TOTALS</b>	<b>2,400</b>	<b>800</b>	<b>3,200</b>	<b>6,100</b>	<b>2,100</b>	<b>8,200</b>

9. SCHEDULE OF AID FUNDING (\$000)

A. APPRO. PRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) 103	180	053		-0-	-0-	2,100		2,100	
(2) 104	580	530		-0-	-0-	300		300	
(3) 105	660	700		-0-	-0-			3,700	
(4)									
<b>TOTALS</b>								<b>6,100</b>	

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)  
 054 563 720

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)  
 A. Code TNG  
 B. Amount

13. PROJECT PURPOSE (maximum 480 characters)

To strengthen the managerial and technical capabilities of public and, where appropriate, private sector manpower in areas of GOI and AID collaboration.

14. SCHEDULED EVALUATIONS  
 Interim MM YY MM YY Final MM YY  
 01 85 03 87

15. SOURCE/ORIGIN OF GOODS AND SERVICES  
 000  941  Local  Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a \_\_\_\_\_ page PP Amendment)

17. APPROVED BY  
 Signature Priscilla M. Boughton  
 Title Mission Director  
 Date Signed MM DD YY  
 09 24 82

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION  
 MM DD YY

**Development and Management Training  
Project Paper**

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## GLOSSARY

A. I. D. (USAID)	Agency for International Development
B. A.	Bachelor of Arts
CIMMYT	Centro Internacional De Mejoramiento De Maiz y Trigo (International Center for the Improvement of Maize and Wheat)
CDSS	Country Development Strategy Statement
DEA	Department of Economic Affairs, Ministry of Finance
FY	Fiscal Year
GOI	Government of India
IEC	Information, Education, and Communication
IRRI	International Rice Research Institute
LDCs	Less Developed Countries
M. Sc.	Master of Science
PETS	Power Engineering Training Society
PhD	Doctor of Philosophy
PID	Project Identification Document
PIO/P	Project Implementation Order/ Participant
PRO/T	Program Office/Training Division (USAID)
S&T/IT	Bureau for Science and Technology/ Office of International Training (AID/Washington)
U. K.	United Kingdom

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## DEVELOPMENT & MANAGEMENT TRAINING

### PROJECT PAPER

#### PART I. PROJECT RECOMMENDATION AND SUMMARY DESCRIPTION

##### A. Recommendation

This Project is technically, socially and economically sound and is in direct accord with the development priorities of the Agency, the Mission, and the Government of India. It is therefore recommended that a grant of \$ 6.1 million and a four year nine month life of project be authorized.

##### B. Summary Description

###### 1. Grantee And Implementing Agency

The Grantee of this Project will be the President of India. The Department of Economic Affairs, Ministry of Finance (DEA) will act as the implementing agency.

###### 2. Financing

- a. AID: \$ 6.1 million
- b. GOI: \$ 2.1 million

###### 3. Project Goal

The goal of this project is to contribute to increased institutional capacity of GOI development agencies to plan and implement development activities in sectors of high priority to both the GOI and AID.

###### 4. Project Purpose

The purpose of this project is to strengthen the managerial and technical capabilities of public and, where appropriate, private sector manpower in areas of GOI and AID collaboration.

###### 5. Project Summary

Through the Project approximately 1300 participants will receive managerial or technical training. The great majority of the participants (approximately 1200) will receive short term training in India, either from Indian institutions or from Indian or American consultant training teams. The remaining participants, with the exception of a minimal number who will receive long term training in the United States, will receive short term training in the United States or in Third World Countries other than India.

The Project will focus primarily on training individuals employed in the public sector; training will be offered to private sector participants in those development sectors where involvement of private organizations and enterprises has been traditionally significant (e.g. social services, energy technology, industrial technology, etc.). Training needs for public and private sector participants will be identified on a collaborative basis between USAID, relevant GOI agencies and, when appropriate, the participating private sector entity.

## 6. AID/W Issues

The Asia Project Committee in reviewing the PID raised 5 issues/questions. These are discussed below:

a. International Travel: The committee requested that the rationale for waiver of the host country requirement to fund participants' international travel be included in the PF. GOI discretionary funds for travel are limited, and are used primarily for conferences and official representation abroad. Experience has shown that GOI-funded participant travel often leads to delays and cancellations. Consequently, in order to ensure timely despatch of participants, AID will fund all international travel.

b. Private Sector: The Mission was requested to discuss specific ways to involve private sector companies and non-profit organizations. The Mission was also requested to consider involvement of individuals from public sector entities working to encourage private sector investment within India. The role of the private sector, including its definition for this project and the methods of advertising for private sector participants, is discussed in Parts I.B.7, II.B.2 and C. USAID will discuss with the GOI, through the Project's joint working group, the appropriate level of advertisement to private sector entities of any given training course or program. Finally, USAID will work directly with some private sector organizations to develop specific training programs.

c. Project Administration: The committee queried about the procedural mechanisms for implementing the project. These are discussed in Part II B. 2, Part III B, Part V and Annex 1. Generally, current procedures for programming participants and identifying contractors will be used.

d. Involvement of Women: The project committee suggested placing greater emphasis on maximizing training opportunities for women. Part III.C. analyzes the Role of Women in this project. At least 15% of project training slots will be reserved for women.

e. Focus of Project: The primary emphasis of the project is to build institutional capacity through targeted skill and management training.

## 7. Relationship to AID objectives

a. Agency Priorities: This project is in accord with several A.I.D. development priorities.

### i) Institutional Development

USAID/India fully supports the notion that capable, efficient institutions are critical to sustained economic development. This project

will strengthen the capacity of GOI institutions to plan and implement development projects by upgrading management as well as technical skills.

### II) Technology Transfer

Training is the purest form of technology transfer. Technology transfer will be accomplished under this project by introducing participants to technologies new to India and enhancing their knowledge of technologies that have already been accepted.

### III) Private Sector Involvement

In areas where the private sector is recognized to play a significant role in technology development and application, provision of capital and/or delivery of services, a special effort will be made by the GOI to recruit private sector participants. A joint AID-GOI working group will monitor the level of private sector application to training programs, although final selection will be the prerogative of the GOI. In addition, both Indian and American private sector enterprises will be contracted to provide training courses to participants.

#### b. USAID/India Priorities

The primary objectives of the AID program in India are to increase the growth rate of food production; expand fuelwood supplies and develop other alternatives to petroleum; and reduce human fertility and mortality. Essential to the achievement of these objectives is a human resource base with both the technical and managerial skills required to develop and improve appropriate technologies and transfer the technologies to the general population. This project will upgrade the skills of the existing human resource base in agriculture, energy, family planning and health to facilitate the development process.

## Part II. DESCRIPTION OF PROJECT

### A. Background

#### 1. Manpower Situation in India

India has one of the largest pools of trained manpower in the developing world. Over the past three decades, the stock of manpower has grown fastest in the fields of engineering, science, agriculture and health. This growth reflects an equally rapid growth in the numbers of higher education institutions and the graduates from those institutions. The number of graduates in engineering grew dramatically from the late 1950s to early 1970s in response to a sharp increase in demand for engineering skills in the economy. That demand began to shift to agricultural fields in the mid 1960s and to scientific and health personnel over the past decade when the teaching of these disciplines increased significantly.

Despite these developments, India remains seriously short of trained manpower in many technological fields in priority plan sectors. India suffers from the types of distortions between educational supply of skills and the social and economic demand for skills characteristic of most LDCs. Also,

relative to other LDCs, the amount of educational capital invested per capita in India was estimated by the World Bank in 1977 to be \$ 66, one-third the level of Ghana, one-fourth the level of the Philippines and 0.5% that of the U.S. Relative to the country's capital stock, India invests only 6% in education of what it invests in physical capital. Education expenditure represents only 2.5% of all public expenditure nationwide.

The doubling of government-sector employment from 1961-1977, the growth in importance of economic planning over the past two decades, and the increasing technological emphasis of India's economic development have exerted a tremendous pull on secondary and tertiary levels of education. Accordingly, the public sector has heavily subsidized the upper levels of education, reducing the private cost of that education to very low levels. This has encouraged the dramatic growth of higher education institutions and enrollments discussed above. It has probably had an effect on the "wastage" factor in colleges and universities. Wastage represents the level of drop-outs or those who do not complete degrees, and averages 25% of enrollments across all disciplines.

Despite the high social costs (cost to society) and low private costs (cost to the individual) of higher education, the World Bank, AID and Indian educational economists point out that the private and social returns to higher education investment are relatively high. The private return to investment averages 12.2% overall and 25% for engineering graduates. The social return to investment averages 10.3% overall and 17.4% for engineers.

This favorable investment pattern masks the distortion between the supply and mix of trained personnel and the economic and social demand for them. The stereotype of large numbers of educated unemployed in India is somewhat misleading. The most serious unemployment in terms of both numbers and rate exists in unskilled occupations and among the less educated. The educated unemployed are more visible because they tend to be young and are more likely to register at employment exchanges. In fact, skills are in short supply at the post graduate level in most technical fields (see technical analysis). The supply of basic trained manpower in general engineering, sciences and health may be adequate, but Indian academic institutions do not possess curricula to produce graduates in the specialized fields required to adapt new, imported foreign technologies.

## 2. Past AID Involvement in Training in India

USAID/India has a long history of involvement in training and manpower development of policy makers and technical personnel at various levels in the Indian public sector. Since 1951, more than 6,200 participants have been trained in the U.S. Most received degree training with the plurality of courses focussed on agriculture and agriculture sciences, although some training was offered in industrial relations, labor management, population and personnel management. The last training project activity ended in 1972. Since the resumption of the AID program in India in 1978, training of personnel from both the public and private sectors has grown steadily in importance. From FY 78 to FY 83, 267 participants are scheduled to depart for the U.S. and third countries for training, most of it being short-term technical skills enhancement courses.

In addition to direct skill training, USAID has in the past provided substantial institutional support to Indian training institutions. This took the form of direct support to specialized centers and institutes at academic institutions nationwide (e.g. Indian Institute of Technology, Kanpur, nine agricultural universities, Indian Institute of Science, Bangalore, Indian Institute of Management, Ahmedabad, and various colleges for teacher training and curricula development.) There was also direct technical assistance to the Ministry of Education on educational policy development, and a program to establish collaboration between prominent U.S. and Indian scientists through the U.S. National Academy of Sciences and the Indian National Science Academy. Programs in the education sector alone covered more than 250 separate academic fields and provided primarily long-term training to approximately 900 individuals from over 100 institutions from 1952-1972. Over 50 consultants from a dozen U.S. universities were also involved.

These training and education programs permitted USAID to establish broad contacts with most of the important Indian academic and research institutions. However, the scattered nature of this assistance limited its effectiveness. Organizational concentration was limited, and little effort was made to upgrade critical skills of key groups of persons which could have an impact on public policy. Interlinkage between USAID development programming in other sectors and the training programs being offered was infrequent. There seemed to be little recognition of the relationship between the training taking place and the values of the institutions into which the new ideas and skills would be introduced. Follow-up studies to trace a random sample of past participants and their subsequent roles in relevant development organizations and activities have not been undertaken.

### 3. GOI Training Programs

Limited amounts of in-service training are provided to staff in GOI ministries. However, budgets are small, and the training is often confined to upper level managers. Frequently, the training takes the form of attendance at international conferences, or short-term courses at Indian institutes. The Sixth Plan budget contains only \$ 2.4 million (Rs. 9.5/\$1) for in-service training and staff development, or \$ 400,000 annually.

Overseas training is generally offered if a foreign donor finances it. A major problem associated with the limited budget and scope of in-service training in the public sector is that often an individual may not return to the same position he/she left. Because of resource limitations, public sector entities hire large numbers of degree and postgraduate degree holders and rely upon subsequent years of job experiences to provide the relevant skills required to manage programs.

Few foreign donors in India are presently financing major training programs. As a result, the GOI sees this project as an important opportunity to provide in-service technical and managerial training primarily to middle-level managers and below. This level of public official represents a cadre of manpower primarily responsible for day-to-day management of development programs.

#### 4. Rationale for the Project

To facilitate the development process in India, it is clear that the capabilities of several key Government agencies must be upgraded. One effective way to upgrade an organization's capabilities is to provide training and professional development opportunities to the organization's staff. Accordingly, the majority of AID projects in the India portfolio have training components. In many cases, however, the Mission receives requests for training to which it is unable to respond because the training, while relevant to AID objectives, cannot be justified under a specific project or has not been financially planned for. In addition, it is often useful to be able to provide training in sectors where AID intends to support future projects. The pre-project training not only accelerates implementation when the project comes on-stream, it enables AID to acquire a better understanding of the sector, and thus increases the probability of good design and successful implementation.

#### 8. Detailed Description

##### 1. Objectives

The goal of this project is to contribute to increased institutional capacity of GOI development agencies to plan and implement development activities in sectors of high priority to both the GOI and AID.

The purpose of this project is to strengthen the managerial and technical capabilities of public and, where appropriate, private sector manpower in areas of GOI and AID collaboration. A numerical target of 1300 trained individuals has been set. Up to 1200 of these individuals will receive training in India with the remaining individuals to be trained in the U.S. or other Code 941 countries.\* At least 15% of the individuals trained will be women. To achieve any significant strengthening of managerial and technical capabilities within the participating agencies, not less than 75% of the individuals trained must return for at least one year to the same or a similar position to the one held prior to training.

##### 2. Project Strategy

The majority of individuals trained under the project will be mid or junior level officials and will be trained at Indian institutions or in groups with their colleagues by American or Indian training teams. It is believed that a training program developed and conducted for a specific organizational unit can create a critical mass of technical and managerial skills, and influence significantly a unit's objectives and the manner in which it carries out its functions. All in-country training will be short-term; however, to the extent possible, follow-up training will take place. Training teams will be required to leave behind training program plans, and, in most instances, materials, so that the program can be replicated within the organization and for other pertinent organizations. Particular attention will be paid to training of trainers.

A significant amount of training outside of India will take place, because the value of observing different managerial and technical procedures and the importance of contact with peers at the international level are recognized. Also, many training courses which could be of value are not

\* For third country training, redelegation of authority 40:10 grants the Mission Director authority to waive source/origin requirements of Code 000 and host country on a case by case basis, up to \$ 1 million.

offered in India. Out of country training will include both short-term and long-term in the U.S. and in third countries.

In the public sector, priority for training will be given to the following entities and their state counterparts: Planning Commission, Ministry of Agriculture, Ministry of Social Welfare, Ministry of Health and Family Welfare, Ministry of Energy, Ministry of Finance, Ministry of Industry, Ministry of Irrigation, Department of Science & Technology, and Department of Environment. Most of the training directed at the state level will benefit those states in which AID has concentrated its resources.

Training for the private sector will involve participants from voluntary organizations, trade and entrepreneurial associations, business councils and small to medium enterprises, in areas determined by the GOI to be of high development priority, e.g. energy, industrial technology and social services.

Three steps will lead to the actual presentation of a specific training program. The Mission and the GOI will first develop an overall project training plan. Then specific training activities under the plan will be developed. Finally, participants will be selected.

a. Overall Project Training Plan

The key to maximizing the impact of the limited resources in this project lies in planning for the types and amount of training required. Approximately two-thirds of the training will be undertaken within the context of plans for upgrading specific sets of technical and management skills of the staffs USAID works with. USAID will take responsibility for seeking out and developing the training programs with U.S., Third Country and Indian institutions in response to those plans. The remaining estimated one-third of the project's resources may be used to respond to unsolicited training proposals from outside institutions or as a result of GOI-U.S. collaboration in other fora (e.g., Indo-U.S. subcommissions) which may or may not fit these plans. This will permit flexibility to respond to training requests which are not specifically planned for and to assist the public sector in upgrading skills in areas of potential future project collaboration.

The identification of training requirements and their scope will be the basis for development of training plans by USAID technical offices and their counterpart organizations. USAID has already identified tentative training requirements in over 60 separate skill areas, in both the public and private sectors, involving about 900 participants, most of which can be trained in India by visiting consultant teams. A preliminary listing is contained in Annex 6. This listing is illustrative and approximate, and does not anticipate other needs which may arise over the five-year life of this project. Its presentation attempts to depict the wide range of technical and management skills required and the magnitude of training necessary to achieve a critical mass of expertise in a given area.

Agreement on numbers and identity of persons to be trained will require dialogue between the USAID office concerned and its Indian counterpart. The GOI will retain the right of final approval for individuals nominated to training programs. Tactically, it will be necessary to determine the sequence of who will be trained when, what the appropriate stages are for specific

training, and whether that training should be done in the U.S., a third country or India. Of equal importance is consideration of how many people should be trained at one time since, presumably, their positions will be vacant during the course of their training. In fact, the issues of vacancy, the length of vacancy and the importance of the position to the organization should be assessed when deciding both length of training, and whether it should be on-site in India or overseas.

Having prepared these preliminary estimates, USAID technical offices and counterpart organizations in the public and, where appropriate, the private sector will collaborate to refine and prioritize training programs.

Thus, development of an overall project training plan between the USAID technical office and its GOI counterpart will include three steps:

i) Identification of training needs which the GOI and USAID agree upon;

ii) analysis of positions and their incumbents in the organization to determine which individuals will receive training, and the amount of training required. This analysis will also include the role the trainee has played and should expect to play once he/she returns to the position.

iii) prioritization of both the individuals to receive training and the training courses to be offered, assuming training plans will exceed the availability of funds. Also, estimates of length of training courses will be made.

Once developed, these plans should be given in memo form from the USAID technical offices to Program Office/Training so that a general earmark of funds against each plan can take place. The plans will be reviewed by Program and PRO/T to assure conformance with the primary criteria for selecting training programs under this project: 1) that skill areas be directly supportive of sector goals which USAID is currently assisting in accordance with the CDSS and 2) that skill training generally reflects both the geographic and organizational concentration of USAID's current assistance program. The program office will discuss training plans with technical offices, as necessary, and provide copies to DEA through the GOI/USAID project joint working group. The working group may, at its discretion, meet to discuss specific plans and suggest additions or modifications. However, neither Program, PRO/T nor the working group may be viewed as exercising an approval function over the plans. Rather, the reviews will serve as clearance to proceed along the general course identified in the plans. PRO/T will discuss the plans and priorities with individual technical offices in case submitted plans exceed funding earmarks.

The plans submitted will be considered as tentative proposals and will be reviewed on a quarterly basis or as new training needs or new organizations with skill requirements in USAID priority areas are identified. The purpose of planning is to permit establishment of a financial monitoring system for the use of project resources, and to permit PRO/T and the Area Contracting Officer to estimate participant programming and consultant contracting requirements over the project's life.

**b. Planning for Specific Training Activities**

Specific training courses and programs will be developed in two ways.

For Overseas training, PRO/T and the USAID technical office will identify programs and courses responsive to training requirements. This will involve: 1) identification of university or other institutional programs (e.g. Population Council, IRRI, CIMMYT, etc); 2) identification of U.S. Government-agency sponsored seminars and workshops; and 3) structuring of observation tours. Assistance will be sought from AID/W (S&T/IT) to identify proper training courses/programs in areas where USAID has little or no information. S&T/IT assistance will also be requested to set up observation tours in the U.S. Observation tours and training in third countries will be undertaken in conjunction with assistance from the USAID Mission or Embassy in the country concerned. The GOI may also be asked to suggest specific institutional programs and training courses. Participants will be programmed for overseas training through PRO/T using existing procedures, (see Annex 1).

In-country training will involve primarily the USAID technical office and the concerned Indian counterpart entity identifying several appropriate U.S. or Indian consulting firms or academic institutions with the requisite expertise. The decision to use consultant teams rather than overseas training will involve several considerations:

- 1) how many participants need to be trained in a certain area;
- 2) is the training more appropriate on-site so that staff are not absent from their positions for long periods of time;
- 3) cost per participant;
- 4) the on-going need for the training program such that curriculum materials need to be developed and left behind for trainers; and
- 5) whether the training will be enhanced by conducting it under actual field conditions.

It is obvious that for programs which will require large numbers of persons trained in a specific skill area, it will be more cost effective to recruit consultant teams which can train in the field. Also, this approach minimizes organizational disruption by not removing large numbers of staff, or key individuals, from their posts for too long. It can be very cost effective because it can reach large numbers of participants at sub-national levels, and can be conducted under actual field conditions facilitating adaptation of new skills to job tasks. An important advantage in some instances will be for training programs where a continuous need to conduct regular workshops and seminars in certain skill areas can be identified. In these situations consultant teams may be viewed as a way to train trainers in skill areas, test the efficacy of those trainers under actual field conditions, and develop curriculum materials for use by trainers. This approach permits use of

consultant teams to establish training capability within an organization itself for relevant line staff. While all consultant team training in India may not be viewed as developing an indigenous organizational capacity for further staff skill upgrading, the teams should investigate how the training they impart will be echoed to other staff. If training materials are not left behind, recommendations on development of training materials (content, format, mode of presentation) should be given.

Courses and programs which are unsolicited from U.S. or third country institutions or which are developed by the GOI but not related to specific plans will be handled on a case-by-case basis. Where necessary, the working group will meet to assure that funding of these training programs generally conforms to the sector interests outlined in Part III. A.4, Table 1, and that no other appropriate funding source exists.

c. Selecting Participants

Participants shall be selected in accordance with normal procedures now being followed by USAID and the Government of India. The criteria for participant selection have been developed under the rubric of the Indo-U.S. Technical Cooperation Program and are explained in Section IV. A. of USAID Mission Order 1000.04, Participant Training Procedures (Annex 1).

Initially, participants are identified by virtue of occupying positions which training plans identify as requiring further skill training. These positions and their functions should already have been analyzed with respect to the relevance of their current duties to present and planned USAID-assisted activities in India.

The participants themselves will be selected against the following additional criteria:

- 1) The individual is a citizen of India.
- 2) The individual has demonstrated to the satisfaction of his home organization awareness of the responsibilities (legal, financial and professional) assumed if selected. In the public sector this includes a minimum bonding requirement for service to the Government following training.
- 3) Minimum age and health criteria are met, including passing of a government required physical examination for those selected for overseas training.
- 4) Sufficient academic and/or other experience is demonstrated to assure the individual is qualified for the training program proposed.
- 5) Evidence of maturity, emotional stability and leadership potential to enable the individual to complete training successfully. This criterion is primarily intended for overseas training.
- 6) The individual demonstrates facility in English.

7) The individual demonstrates a clear understanding of the country's development goals, and of the objectives of the projects he/she manages to which the training is related. The individual should also demonstrate a strong personal commitment to the planned training and an understanding as to how it may be applied when one returns to one's current position.

8) The individual will likely return to his/her current or other relevant position with the same organization.

Generally, the GOI will have primary responsibility for assuring participants are properly screened against the above criteria. USAID will participate in this process as part of its collaboration with counterpart entities on development of training plans. With respect to academic programs and non-academic programs at U.S. or third country institutions, USAID will notify the GOI of minimum academic and experience requirements for the courses involved.

### C. Role of the Private Sector

The private sector in India is broad and diverse. In addition to the "for-profit" private corporations and companies, there is also a substantial non-profit subsector. This subsector consists mostly of organizations registered under the Societies Registration Act of 1863, and includes private voluntary agencies, research and training institutes, and professional and trade associations. In addition, there are quasi-public organizations (such as cooperative federations) whose charter and some financial support come from government, but whose activities are concentrated primarily in the private sector.

This project is designed primarily to provide training to public sector personnel, because in many of the priority development areas where training will be offered (e.g., irrigation and forestry) the public sector is the dominant provider of capital and services. However, in areas where the private sector is recognized to play a significant role, a special effort will be made by the GOI to recruit private sector participants. While it is unrealistic at this stage to establish quotas, training programs involving private sector personnel may include but not be limited to the following areas: health, nutrition, fertility control, energy, industrial technology, product development and standards, financial management, women in development, etc. The joint working group will monitor the level of private sector applications to training programs, although final selection is the prerogative of the GOI.

Identification of appropriate private sector organizations for a given training course may be accomplished in a number of ways: 1) through development of training plans with GOI counterpart entities, private sector PVOs, associations or other types of organizations may be identified as potential candidates to nominate participants; 2) in response to unsolicited training proposals, the project working group will identify potential private sector participants where appropriate; 3) direct application to USAID or the GOI by a private sector organization for training; and/or; 4) direct collaboration between USAID and a private sector organization to develop training plans and proposals.

The identification of private sector participants in this manner is important, because it is not the intent to advertise possible training opportunities on a nationwide basis. Existing USAID/Embassy contacts with private entities in the voluntary, academic and commercial sector should provide a broad enough base for selecting private sector participants.

In addition, the private sector will be involved as trainers under this project. U.S. and Indian universities, consulting firms and other private institutions (non-profit organizations, cooperative federations, labor institutions, etc.) will be relied upon for most of the training programs financed by the project.

### PART III. Project Analyses

#### A. Technical Analysis

The Development and Management Training Project is designed to provide in-service training to individuals already occupying key staff positions in their respective organizations. The project will focus on upgrading the existing level of skills and, to a lesser extent, introduction of new skills to project managers and line staff.

To assess the feasibility of this design approach, it would be necessary to analyze in detail the current stock of trained technical, scientific and managerial personnel in terms of supply and demand, quality of existing skills, and critical areas of skill shortage. However, this is a large undertaking, requiring both research and data beyond the scope of this paper. Therefore, USAID has conducted a review of secondary literature and data sources and presents the generalized findings below.

#### 1. Supply and Demand for Technical, Scientific and Managerial Manpower in India

Data collection and analysis on manpower supply and demand has been attempted only haphazardly by various offices in the Government of India. These offices include the Ministry of Labour, Planning Commission, Ministry of Home Affairs, and the Indian Census. Unfortunately, what has been done has neither been systematic nor longitudinal in nature. Assumptions underlying the most comprehensive attempt at such analysis undertaken in 1969 by the Subgroup on Manpower set up under the Planning Commission were based on simple relationships between manpower and economic growth rates. The objective of the study was to project manpower needs for the 1970s. Simple ratios were established between aggregate manpower levels in different occupations and economic growth with little attention given to the changing structure of the economy which would result in differential demand for various skills and occupations.

Neither this study, nor smaller less significant ones attempted since had substantial impact on educational planning. Actually from 1961 to 1978, India witnessed a dramatic increase in the number of higher educational institutions as well as in the number of total graduates. During the 1970s enrollments overall grew 4% per year. This rapid growth reflected both demographics as well as the changing structural nature of the economy, and

introduction of new agricultural and industrial technologies. India today possesses the third largest stock of skilled and technical manpower in the world (behind the U.K. and U.S.) with over 2,500 institutional degree programs (B.A. and above) in various technical disciplines. Not surprisingly, this growth has paralleled a doubling of public sector employment from 7 million persons in 1961 to 14 million in 1981. The public sector in India is the single largest employer of technical and skilled manpower. It also accounts for 64% of all employment in the organized sector and provides 60% of all research and development funding in the country.

Despite a lack of data and scientific analysis, several generalizations about India's manpower situation can be made.

The incidence of unemployment among high-level skilled and technical manpower in the fields of engineering, (civil and mechanical, M.Sc or above), physical and natural sciences (M.Sc or above), medicine, nursing, veterinary science and agriculture (M.Sc and above), is relatively low. The common perception of India having an overabundance of trained manpower appears confined to bachelor's level education and below, and to younger graduates up to age 29. The World Bank, in a 1979 study, found that the reason unemployment appears to be high among college graduates is that they tend to live in urban areas and register more frequently at employment exchanges than persons with less education and who live in rural areas. Actually, most find employment quickly after graduation while the rest may search for periods of 6-18 months before finding a job. Surpluses that do appear often hide severe shortages of skilled and technical personnel in individual states. For example, Uttar Pradesh and Punjab have a surplus of trained persons in the agricultural sciences because of the large number of agricultural schools in those states. However, their unwillingness to migrate to states which have a deficit of these skills (e.g. Rajasthan or Bihar) means skill demands aren't being met in those areas. Unemployment is less among older skilled individuals because of the pattern of infrequent layoffs in the public, and even in the private, sector and low job mobility.

In actuality, there is a high demand in the Indian economy for specialized manpower at the postgraduate level. However, the rapid expansion of India's higher education has not been equalled by a concomitant increase in the quality of education. This fact is noted in the 1981-82 Annual Report of the Ministry of Education and Culture. That report and chapter 13 of the Sixth Five Year Plan, stress the need to slow enrollments, especially in arts, commerce, and some science and engineering fields, and consolidate existing courses and facilities. This includes optimizing use of existing facilities, improvement of quality and curricula standards, and restructuring courses to provide more practicums. Still the problem of adequate fit between academically acquired skills and the social demand for those skills is substantial; fortunately, the basic academic training of most skilled and technical personnel is sufficient to permit specialized on-the-job training without significant expense or loss of an individual to his/her organization.

2. Assessment of Technical Manpower Stock in Areas of Priority Interest to USAID

USAID preliminary estimates in various sectors indicate that a sufficient stock of technical and skilled manpower with basic academic training exists in GOI Ministries and other public sector entities with which USAID collaborates. For example, USAID has determined that basic civil and hydraulic engineering skills are well-developed in India. There are also substantial numbers of soil conservation technicians, groundwater technicians, soil mechanics, environmental engineers in the irrigation sector, and sociologists, statisticians, plantation officers, nursery managers and planners in the forestry sector. In the health, population and nutrition sectors, there are nursing and medical personnel, as well as statisticians, administrators and demographers. The suggested training lists in Annex 6 are primarily for short-term courses, and build upon basic training and experience in agriculture, science, engineering and health.

Following is a more detailed analysis of the needs for skilled and technical manpower identified for USAID and GOI priority sectors and an indication of the role this project could play in upgrading manpower needs in each sector.

a. Agriculture

Tremendous strides were made during the 1960's and 1970's in agricultural production as a result of the green revolution technology. Nevertheless, much remains to be done particularly in relation to improving crop yields for crops other than wheat, managing forestry resources and improving water management. There is increasing awareness that agricultural productivity can be raised by improving the efficiency of utilization of natural resources and inputs per unit of land area. Cropping systems technology utilizing a number of crops must be matched to water availabilities, soils and other parameters specified to agro-ecological zones. Land use must also be planned and managed in conjunction with forestry requirements and the need to supply adequate fuelwood and fodder. Managing the supply and distribution of inputs such as fertilizers, pesticides and water for the system becomes more critical as the complexity of the agricultural production system increases. Although irrigation potential (increased land area served by irrigation) will continue to be stressed, the total land devoted to crop production is finite. Thus, future emphasis for improving agricultural productivity will undoubtedly involve the integration of new and more sophisticated technologies adopted to a more complex production system. This translates into a greater demand for specialized technical skills and managerial capabilities at all levels of the system.

Currently, unemployment among diploma and degree holders averages 8-12%. Yet demand for trained agriculturalists in all disciplines, particularly at the subnational level (e.g. the district and block levels) is strong and may be expected to grow over the next plan period (1985-1990) with implementation of the Government's Twenty-Point Program.

USAID's project portfolio deals directly with a number of critical problems affecting India's agricultural productivity. These projects include extending irrigation potential, improving water management technology, social forestry and selected agricultural research problems. The areas have been identified and endorsed by the Indo-U.S. Subcommittee as priority areas.

The emphasis in all of AID's projects is increasingly oriented toward higher level technological improvements and efficiency in dealing with agricultural productivity. However, our experience has shown that the potential impact of projects is often limited by the fact that key functions somewhere in the overall system are weak. Moreover, because the overall system is massive and complex, many of the gaps or weak points cannot be foreseen until project implementation is in process. Thus a strong need exists to selectively train key individuals when the necessity arises.

Moreover, in India, one of the more critical needs is to develop more effective ways to manage the delivery of technical information so that research results are translated into practical methodologies. In this context, not only technical but managerial skills are required which focus on workable solutions.

Some of the more important fields where complementary training and professional development in technical and managerial skills will be needed in agriculture are listed in Annex 6.

b. Engineering (Irrigation, Water Management and General Rural Development).

Unemployment in India among engineering degree holders is 6.1 percent for all types of engineering. For the conventional types of engineering such as civil, mechanical, hydraulics, electrical, etc., the unemployment rate is very low and the current output from the engineering institutions to meet these manpower needs appears adequate for the remainder of this decade. However, for some of the non-conventional areas such as aeronautical, chemical and electronic engineering, the supply of graduates is not sufficient to meet the growing demand. Similar deficiencies exist in certain emerging disciplines, such as irrigation water management and water resource systems engineering. In addition, statistics show that approximately 40% (depending on degree level) of the engineers employed are engaged in occupations which do not require direct application of their academic skills or in jobs with qualifications beneath their training. Although there appears to be a need for more engineering personnel at the M.Sc and Ph.D levels in research and development related to rural development programs, they do not appear to be moving into these jobs. The reason may include non-relevance of academic training and experience, and resistance to migrating to other areas of the country.

For the hundreds of thousands of engineers in positions that are connected with rural development programs, the most chronic shortages are in the areas of irrigation, water management and water resource systems engineering. In addition to the requirements for additional graduates

In the shortage areas, there is a general need to update knowledge in specific areas such as sedimentation forecasting, flood forecasting, hydrology, hydraulics, irrigation and water management. There is also a need to assist the current degree holders in applying their knowledge to practical field problems including utilization of team work involving other disciplines to identify constraints to rural development and to develop and apply solutions for the removal of those constraints.

Basically, the manpower development requirements for engineers fall into 3 categories: 1) The upgrading of professional skills for those hundreds of thousands of engineers currently working on rural development programs. Training generally should consist of short and medium term courses and workshops within India and some concentrated training outside of India along with observation tours to upgrade their knowledge. 2) The upgrading of the professional staff of training institutes and universities within India. This training would take the form of short term and degree courses in or outside of India. 3) The establishment of new skills in the emerging area of water management and water resource systems engineering.

USAID is proposing to develop a separate Water Management and Training Project and a separate Water Resource Planning and Management Project over the next years. These projects will initiate professional development in a limited number of management and technical areas for a few of the States in India; however, there is a need for this general category of training in other areas discussed above and for priority States whose needs are not included in other USAID-assisted projects.

The upgrading of skills of existing personnel will improve the performance of rural development programs and projects and will help to reduce the percentage of individuals that are engaged in occupations that do not fully utilize their skills. In addition, this project will have wide reaching spread effects as the training of trainers develops and their knowledge is passed on to their coworkers and within their education institutions throughout the country.

c. Forestry

Population increases, conversions of forests to agriculture, and overgrazing by increasingly large numbers of cattle have placed a heavy burden on India's forest resources. Indian policies and programs recognize the twin challenge of production for industrial and local domestic needs. Most states have now established Forest Development Corporations to facilitate investment and expansion of industrial production. Similarly all states now have social forestry programs to further increase production on non-traditional forest lands for local domestic needs. Environmental protection is a need appreciated at both the central and state levels. A Department of Ecology was established by the GOI recently to address these needs.

Currently there are no programs oriented to extension in the context of forestry in India. The experience gained from agricultural and other extension programs in India (and other countries) over the past 25 years provides a fertile and logical base for a similar program in forestry. While there exists substantial institutional capability in agricultural extension, a concerted effort will be required to adapt and establish extension programs in forestry. A USAID project in forest research, training and extension is planned for FY 84. The Development and Management Training

Project could fund pre-project training in forestry extension as well as training in priority social forestry in states not covered by the two USAID projects.

Short term training needs which could be met under this project include the areas of silviculture, economic and social aspects of forest development, forest pathology and entomology, sandalwood production improvement, and pulp and paper technology.

d. Energy

India's energy problems have acquired new urgency recently with the rapid increase in India's oil import bill. In 1980 the oil import bill was approximately \$7 billion, representing some 75% of export earnings. India's energy problems also encompass a declining supply of non-commercial sources consisting primarily of firewood, twigs and other biomass products as mentioned earlier. Increased domestic supply has been the main thrust of India's strategy to solve its energy problems. The strategy covers all forms of energy--conventional and alternative sources--in an effort to meet a diverse demand in a growing economy. Among conventional energy sources, the power sector has been given the highest priority for development during the current five year plan. By the end of the plan in 1985, power generating capacity is expected to have been increased from 20,000 megawatts (at the start of the plan in 1980) to 50,000 megawatts. The development of both thermal (coal-fired) and hydro plants will contribute to meeting these targets with slightly more emphasis on thermal generation.

USAID assistance is directed largely to alternative energy and the forestry sector mentioned above. Assistance has also been extended to the power sector for the development of rural electrification in several Indian states. Through centrally funded AID/W projects, assistance is being extended in the area of conventional energy sources with emphasis on energy management and the exploration and development of natural gas and fossil fuel sources.

Efficient performance of power plants has been designated as an important aspect of meeting energy efficiency/conservation objectives. Less than optimum performance attributable to poor plant maintenance and improper planning caused by inadequately trained staff are chief among the reasons for the poor performance of power plants in India. In order to address a growing need for trained manpower to manage and operate India's power plants efficiently, the Power Engineering Training Society (PETS) was created. PETS' immediate needs are for training of lower level management and operating personnel of power plants of the 210 megawatt size. Hands-on training is required in country, and U.S. consultant teams are foreseen as a major way of fulfilling this requirement. Specific problems being encountered relate to furnace and boiler management of 210 megawatt sets.

Funds are not available from on-going USAID projects, and centrally funded AID/W energy projects do not appear to contain provision for funding the in-country hands-on kind of training required by PETS.

Fuel efficiency technology in industry, both public and private, is another important area where this project may fund training. Energy efficiency ratios of Indian industry are considered poor. Training in energy conservation could make a significant contribution to easing energy constraints in the country. This need has been raised with USAID by both public and private sector organizations.

c. Health

In the poorer states (such as Uttar Pradesh, Bihar, Orissa, Rajasthan and Madhya Pradesh), where almost half of India's population live, and where fertility and mortality are among the highest in the country, health manpower shortages at the district, block and village level are most severe. The problem is not merely one of numbers: quality of the skills of health workers at all service levels is equally important. This has been recently documented by USAID-supported training needs assessments. Inadequate training - both pre-service and in-service - for health workers, is compounded by weak preparation and lack of up-to-date technical and educational skills among training staff. Together, these undermine the health care system's capability to deliver the most crucial fertility and mortality reduction services.

Another problem which is pervasive through all levels of the delivery system is inadequate management. Most physicians who head primary health centers, have little training or experience in management. They tend to concentrate on medical care and hence do not effectively direct the large health team for which they are responsible. Few senior health officials at the district and state level have had any formal management training. Consequently, there is a shortage at all levels of key managerial skills: planning and budgeting, personnel management, logistics and supply management, and management information and evaluation.

Training in the current USAID project in health and family planning delivery is focussed primarily on village level health workers and community health volunteers. Manpower training to the block and district level in 13 districts of India is covered by the project. The Development and Management Training project will supplement the training provided under USAID's current and upcoming health, population and nutrition projects by funding training in India, and to some extent in the U.S., in critical complementary areas. These might include epidemiology, materials management, health administration, census analysis, financial analysis, operations research, health economic planning, the microbiology and bacteriology of maternal infections, and low birth weight. Training could be provided for state and central government officials and for researchers and administrators in both the public and private sectors. Illustrative examples of the type of training need which cannot be funded under existing bilateral or central programs are listed in Annex 6.

### 3. Operational Approach to Management Training

In formulating the project design, there has been a deliberate attempt not to differentiate between management and skill training. It is our assessment that there does not exist a need for more managers, per se, but for better management skills and techniques. For the entities with which USAID works, this can best be accomplished by improving the management capabilities of technicians at middle and upper levels, and secondarily through direct training of executive and administrative staff.

Management training should be integrated with the additional skill training provided. Management upgrading should focus on increasing the understanding and implementation effectiveness at various organizational levels. The individual must gain greater facility with managing a number of variables which impinge on his technical functions, such as budget, personnel, the organizational "environment", and policy formulation and implementation. This means management training should focus on getting individuals to think systematically, to perceive the limitations of quantitative analysis, to incorporate error as a tool for organizational learning, and to build horizontal and vertical lines of communication within the management unit. Increasingly complex technologies will also require improved interdisciplinary skills.

If applied in this fashion, management training coupled with additional technical training should result in an enlargement of the individual's role in the organization and capability to influence the solution to problems. That implies some dramatic changes in organizational values as individuals seek greater autonomy and latitude in applying new solutions to complex problems.

There are several good management institutes in India, including major institutions in Bombay, Ahmedabad, Bangalore and Calcutta. However, there is a lack of practical curricula for technicians and managers, particularly in rural development. The answer is not formal training in management science. Rather, the need is for blending technical and managerial skills to increase the capacity of middle and upper level staff to set goals and to make those goals operational. Management in this sense, is a process rather an objective.

### 4. Summary

Table 1 which follows is an illustrative functional distribution of training programs to be funded under this project. Included are programs which are not covered under the priority sectors of agriculture, engineering, forestry, energy and health/population discussed above, such as women in development and financial management.

TABLE I

ILLUSTRATIVE FUNCTIONAL DISTRIBUTION OF TRAINING PROGRAMS

PROGRAM AREA

1. FOOD PRODUCTION & RURAL EMPLOYMENT:

- a) Crop Production Technologies, including agronomic science training, seed development, pest and disease control, hydrology, and irrigation technologies, fertilizer, farm mechanization.
- b) Post Harvest Handling, including marketing, storage and distribution. Also could include cooperative development and farmer organization development management.
- c) Off-farm Enterprise Development, including credit management.
- d) Agricultural Education and Extension
- e) Agricultural Economics, Rural Development, and Policy Planning
- f) General Development Administration and Management techniques for agricultural production.

2. FERTILITY AND MORTALITY REDUCTION:

- a) Training in Operations Research Methodologies
- b) Fertility Regulation Technology
- c) Social Service Delivery Systems
- d) Nutrition Science; Nutrition Program Management
- e) IEC Methodology, Logistics Management
- f) Epidemiology
- g) Development Administration, Policy Planning/Analysis & Management Techniques

3. FORESTRY/WATERSHED MANAGEMENT

- a) Dryland Agricultural Technology, including dryland crop development, soil stabilization and conservation, and dendro/bio-mass resources production
- b) General Development Administration, Policy planning/analysis and Management techniques for forestry and watershed management.

4. GENERAL TOPICS

(Including Women in Development, Conventional Energy Training, Public Policy Development and Analysis, Financial Management, Disaster Forecasting and Management).

B. Administrative Analysis

1. The Joint Project Working Group

Once a training program is proposed, either in response to a training plan or an unsolicited announcement, normal USAID/GOI procedures for programming participants and for negotiating AID direct contracts will be used.

The project's primary implementation unit will be the joint working group. It will be composed of no more than 4 individuals (2 USAID, 2 GOI/DEA). USAID representatives will be the Chief of PRO/T and the Deputy Chief of Program, or their designates. GOI/DEA representatives will be the Director of North American programs and the Undersecretary or their designates. The working group will meet on an average of once per quarter or upon request of either party. Because procedures for programming and selecting participants, and for contracting consultants are standardized, the working group will meet primarily to: 1) discuss/revise criteria for course and participant selection; 2) discuss/revise procedures; 3) discuss/resolve implementation and policy issues which may arise during the project.

For participant programs involving U.S., third-country or Indian institutional training, existing USAID/GOI training procedures will be utilized. These procedures are contained in a Mission Order (1000.4) and are outlined in Annex 1. Generally, when a specific training program is proposed, USAID will propose to DEA the number of training slots available. USAID and DEA will also discuss to what extent a training opportunity may be advertised to other groups in both the public and private sector. USAID and DEA may propose to jointly advertise a certain training opportunity to specific groups in conjunction with or apart from training plans. Once agreement is reached on the number of slots for the entities nominating participants, DEA will receive nominations directly from the entities themselves and endorse them to USAID for processing. If USAID has a question about the nomination of a candidate or set of candidates, it will direct those queries to DEA directly. USAID retains the right to propose or refer specific candidates from public or private sector organizations for DEA consideration, but generally will not make formal nominations. This will be the responsibility of the organization/entity concerned. No training program will be undertaken and no participant will be processed for training, without formal DEA clearance.

For participant training in India by visiting consultant teams, the same principles and procedures discussed above regarding selection of courses and participants and advertisement of training will apply. In addition, members of visiting consultant teams will receive formal clearance by DEA prior to arrival.

2. Implications for USAID and GOI Staffing

USAID/New Delhi should be able to carry out implementation and contracting actions with planned staff levels. PRO/T is adding 3 additional clerical contract personnel over the FY 82-84 period, primarily to manage the growing Nepalese training program in India. The Program Office has

determined that the marginal additional requirements for programming 30-35 overseas and domestic participants annually in U.S., Third Country and Indian institutions can be accommodated within these staff levels. PRO/T will usually not be directly involved with programming and selecting participants for in-country training by visiting consultant teams.

The addition of an Area Contracting Officer and 1 clerical contract personnel should enable USAID to handle the estimated 20-25 contracts to be awarded under the project over the implementation period.

For the GOI, it has been determined this project can be monitored and administered with the existing level of staff at DEA, and within the individual training units of relevant GOI Ministries and other public entities.

### C. Social Soundness Analysis

#### 1. The Trainee in the Work Environment

Creating a productive work environment for civil servants within the Government of India is essential to the overall effectiveness of government programs, and, thus, to the successful implementation of development projects. Productive work environments are similarly critical in the private sector. Good training programs can play a major role in creating and sustaining productive work environments; however, in too many cases, training programs have had minimal impact. There are several reasons for this. First, much of the training that has been supported by external donors has taken place in developed countries. Often, this training fails to focus on problems relevant in the Indian context. Second, because greater attention has been paid to the needs of the individual rather than to the needs of the organization as a whole, returned trainees have lacked reinforcement from colleagues. When the individual who has undergone training returns to the parent organization, he finds considerable resistance to changing established procedures, though these may be outdated or inefficient. The result is personal dissatisfaction as well as organizational disgruntlement with the individual. For training to facilitate the reform of inefficient procedures, a critical mass must be reached. Finally, there has been little or no follow-up training. Without the opportunities to review, discuss, or enhance ideas acquired during training, the trainee understandably forgets the material.

This project will attempt to avoid these pitfalls in ways fully explained earlier in the paper. For example, a substantial percentage of the training will take place in India. In the majority of cases, training will upgrade the capabilities of entire offices over time. And, training courses will include follow-up to the extent possible.

## 2. Socio-Cultural Feasibility

Socio-cultural feasibility addresses the question of whether a project is compatible with the socio-cultural environment into which it is introduced. USAID/India is confident that this project is socio-culturally feasible. The project is consistent with Indian Government development goals which recognize the importance of making more effective use of available manpower resources in both the public and private sectors. In addition, USAID has had considerable experience implementing training projects and has yet to identify any substantial socio-cultural constraints to training. In fact, a case can be made that training narrows the socio-cultural gap between the classes by making a conscious effort to sensitize professionals to the economic state of the rural and urban poor and by making no class distinctions in the selection of participant candidates.

## 3. Beneficiaries

The initial beneficiaries of the project will be the individuals receiving training and the organizations which employ them. The indirect, but most important beneficiaries will be the Indian population in general whose lives will be improved over the long run through better agricultural services, improved health care, and expanded employment opportunities. The population should benefit from greater efficiency in the application and management of technological and financial resources for development.

## 4. Participation of Women

The participation and employment of women in the technical and skilled labor force is very low relative to men. Women comprise only 1.4% of India's engineers, 2.5% of its managerial personnel, 18.1% of its scientists and 19.4% of its health and medical practitioners. However, unemployment rates for women in each of these manpower areas is several times that of the average unemployment rate for men. In medicine/health female unemployment is 9%, rising to 25.2% in high-level engineering occupations and 42.2% in science professions (1971 census data).

It is evident that valuable skills acquired by women are not being utilized in the economy, particularly in areas such as science and engineering considered "non-traditional" in terms of academic training for women. The dominance of males in a job market where personal and family connections are vital to securing successful first appointments means that women find it difficult to secure work in their chosen field.

Ironically, many of the constraints to changing behaviour of rural residents in accepting new technologies stem from an inability of extension systems to communicate with women. This is particularly true in the area of social services. This would seem to imply the need to recruit more high level women managers. But a cultural inhibition of males to accept female technical and professional advice and a general tendency in the Indian family system to devalue female employment tend to work against more aggressive recruitment of women into higher status occupations.

Although the project cannot reasonably establish a firm quota, efforts will be made to offer at least 15% of the training slots to women technicians and managers.

#### D. ECONOMIC ANALYSIS

There are well-developed techniques for assessing rates of return to "human capital formation" on education of various kinds. However, these techniques have been developed primarily to determine investment priorities for broad educational programs (e.g., the rate of expansion of higher education in agriculture) or for entire educational systems (e.g., the appropriate mix among primary, secondary and higher educational facilities). These techniques are not easily adapted to the selection of appropriate investments in skills development covering a broad range of sectors, levels of responsibility, and duration and types of training. Consequently no formal benefit-cost analysis has been attempted for this project. Nevertheless, considerations of maximization of returns or impact and cost-effectiveness have guided USAID throughout the project design process, and are reflected in the training mix and the selection procedures chosen.

The project is intended to capitalize on India's relatively high educational levels and well-established development institutions by emphasizing short-term training in specific management and technical skills. The selection procedures described in section II.B above will assure that training for the organizations and individuals proposed will make a significant contribution to India's development objectives in priority sectors. Given the size of India's investment in the staff, institutions, and programs concerned, targeted skills upgrading of the type proposed under this project should have very high returns in terms of improved institutional effectiveness and efficiency.

The mix among in-country and overseas training and short-term and long-term training has been chosen as potentially the most cost-effective of the relevant alternatives. A heavier emphasis on U.S. and third-country training is one obvious alternative, but USAID is already implementing or planning projects with major provisions for U.S. training. The Development and Management Training Project will enable USAID to support complementary training on a significant scale in-country (and thus at relatively low cost), and will permit the development of training course materials in India for use by Indian trainers. Another alternative would be to eliminate U.S. and third-country training from the project; however, while an exclusive focus on in-country training would be less expensive, this would close off access to specialized training and established courses only available in the U.S. This loss of quality would not justify the decrease in project costs. Similar considerations apply to the mix between degree and non-degree training under this project.

Another major alternative would be to provide large-scale institutional support to technical and management institutes in India to strengthen appropriate educational programs. This would have advantages in terms of institution-building and is an approach being considered by USAID for funding under other projects in several fields (e.g., water management, forestry extension and possibly public health). Given the objectives of the Development and Management Training Project, however, (see Section II above) the long term institution-building alternative would provide insufficient targeting to the range of public and private sector entities with which USAID works to plan and implement its assistance program in India.

Based on the above, USAID believes that the current design promises high rates of return to the investment involved and provides the most cost-effective means of achieving the stated project objectives.

E. Environmental Analysis

At the time of PID submission, it was determined that the project's planned activities would not have an effect on the natural and physical environment. The project was found to be consistent with AID environmental procedures 2.6.2. (C) (1) (i) and 216.2 (C) (2) (i), respectively, which categorically exclude training programs from any further environmental action.

PART IV FINANCIAL PLAN

The total project cost is \$ 8.2 million, \$ 6.1 million in AID assistance, and \$ 2.1 million from the Government of India. The AID contribution will cover all foreign exchange costs of training outside India; training conducted in India by consultant teams; and, approximately one-third of training costs for coursework undertaken at Indian institutions. Training teams coming to India will be responsible for including training aids and materials in their budgets. International travel is included in the AID contribution. (See Annexes 7 and 11 for justification of waiver of HB 10 policy on payment of international travel). All domestic travel of participants to points of embarkation in India, or to the Indian training site, training related fees including passports, airport service charges and medical examinations, and salaries/benefits of personnel in training states will be borne by the GOI.

Table I presents a summary cost estimate and financial plan. Table II contains cost estimates by type of training. Table III provides a costing of project outputs. Table IV estimates annual expenditures. It is important to note that the Tables present no separate line item for inflation and that inflation is included in the cost of each item.

Training funds will be allocated to programs across sectors generally in proportion to allocations of budget levels in the FY 83-87 CDSS. In addition, a minimal amount of training may go to general topics not specifically related to any of the primary sector goals in USAID's assistance strategy.

Disbursements for overseas training will be made against amounts committed in PIO/P documents to be issued by USAID. Disbursements for in-country training will take two forms. Payments to contract teams will be made directly by AID per the terms contained in contracts negotiated between AID and the institutions/individuals selected to provide the requisite training services. Payments for in-country training at Indian institutions or universities in most cases will be made directly to the institutions for tuition, room, board, books and monthly maintenance allowances of the participants. This system is similar to that used for training of third-country nationals in India.

**TABLE I**  
**SUMMARY COST ESTIMATE & FINANCIAL PLAN**  
**FY 1982 - FY 1987**  
**(US \$ 000)**

SOURCE	AID		GOI		TOTAL	
	FX	LC	FX	LC	FX	LC
<b>USE</b>						
Participant Training	3,350	200		250	3,350	450
Participant Travel	425			50	425	50
Consultant Team Training	1,800				1,800	
Participant Salaries & Benefits				1,800		1,800
Project Evaluation & Monitoring	25	75			25	75
Contingency (Approximately 4%)	225				225	
<b>TOTAL:</b>	<b>5,825</b>	<b>275</b>		<b>2,100</b>	<b>5,825</b>	<b>2,375</b>

**TABLE II**  
**COST ESTIMATES BY TYPE OF TRAINING**

<b>COST COMPONENT</b>	<b>PERSON MONTHS (EST)</b>	<b>NUMBER OF PARTICIPANTS (EST)</b>	<b>COST</b>
<b><u>In-Country Training</u></b>			<b>\$ 2,000,000</b>
Non-Academic at Indian Institutions short-term	185	50	
U.S./Indian Consultant Teams	150	1,150	
<b><u>Out of Country Training</u></b>			<b>\$ 3,775,000</b>
U.S./Academic/Degree	200	15	
U.S./Third Country/Non-Acad./Short-term	380	100	
<b><u>Sub - Total</u></b>			<b>\$ 5,775,000</b>
Monitoring & Evaluation			100,000
Contingency			225
<b>Total:</b>			<b>\$ 6,100,000</b>
<b><u>Obligation Plan:</u></b>			
FY 1982 - Dols. 2,100,000 from Agriculture, Rural Development and Nutrition Account.			
- Dols. 300,000 from Health Account.			
FY 1983 - Dols. 1,100,000 from Education & Human Development Account.			
FY 1984 - Dols. 2,600,000 from Education & Human Development Account.			

TABLE III

COSTING OF PROJECT OUTPUTS/INPUTS  
(In \$000 or equivalent)

Project Inputs	Project Outputs <sup>1/</sup>				TOTAL <sup>1/</sup>
	# 1	# 2	# 3	# 4	
	Training U.S.	Training India	Training Course Material	Monitoring & Evaluation systems	
AID Appropriated	4,000	2,000	<u>2/</u>	100	6,100.00
Other U.S.					
Host Country In-country travel, passports and incidentals, salaries and benefits of trainees	300	1,800			2,100.00
Other Donors					
<b>Total</b>	<b>4,000</b>	<b>4,100</b>		<b>100</b>	<b>8,200.00</b>

<sup>1/</sup> Includes inflation and contingency

<sup>2/</sup> Included as part of cost attributable to output # 2.

**TABLE IV**

**PROJECTION OF EXPENDITURES BY FISCAL YEAR**

**(US \$ 000)**

<b>FISCAL YEAR</b>	<b>AID</b>	<b>HOST COUNTRY</b>	<b>TOTAL</b>
<b>1982</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1983</b>	<b>975</b>	<b>30</b>	<b>1005</b>
<b>1984</b>	<b>1500</b>	<b>574</b>	<b>2074</b>
<b>1985</b>	<b>1925</b>	<b>670</b>	<b>2595</b>
<b>1986</b>	<b>1000</b>	<b>420</b>	<b>1420</b>
<b>1987</b>	<b>475</b>	<b>406</b>	<b>881</b>
<b>CONTINGENCY</b>	<b>225</b>		<b>225</b>
<b>TOTAL</b>	<b>6100</b>	<b>2100</b>	<b>8200</b>

**PART V. IMPLEMENTATION AND MONITORING**

**A. Implementation Plan**

Prior to signing the project agreement, USAID and the GOI will discuss with relevant GOI ministries and other public and private sector entities the general plans they may have for improving both technical and managerial skills in areas of USAID/GOI priority concern. Care will be taken to advise that inquiries are prospective, and that actual training opportunities will be available subject to signing of a bilateral agreement between the U.S. and the GOI. These discussions will facilitate preparation of training plans and formulation of specific proposals for training programs once the agreement is signed.

The project joint working group will begin to discuss both policies and procedures informally prior to signing the project agreement. However, formal constitution of the working group will occur upon the GOI's formal designation of its representatives to that body in satisfaction of the condition precedent discussed in Part VI.

Following satisfaction of conditions precedent, USAID in collaboration with relevant GOI and private entities will finalize training plans and begin searching for and selecting the appropriate training courses, training institutions, or consultant firms. Meanwhile, USAID technical offices will be providing estimates to PRO/T through training plans (in memo form) of the number of persons to be trained in the current and upcoming fiscal year, the types of courses, and those training activities which will require PRO/T action.

The precise sequencing and amount of training to be conducted each fiscal year is unknown at this time, however, a tentative implementation schedule is presented below:

	<u>ACTIVITY</u>	<u>ACTION AGENT</u>	<u>TARGET COMPLETION DATE -</u>
1.	Project Authorization Signed	USAID/New Delhi	September 28, 1982
2.	Project Agreement Signed	-do-	September 30, 1982
3.	PIL No. 1 Issued	-do-	October 15, 1982
4.	CPs Met	GOI	December 29, 1982
5.	Consultations on Training Plans Take Place	USAID/New Delhi and GOI	August-December, 1982
6.	Preparation of Estimated Training Plans with Projections of Training Actions in FYs 83 and 84	USAID/New Delhi Technical Offices To PRO/T and ACO	November 1, 1982
7.	Update of Training Plans with Projections of Training Actions in FYs 84 and 85	-do-	October 1, 1983

	<u>ACTIVITY</u>	<u>ACTION AGENT</u>	<u>TARGET COMPLETION DATE</u>
8.	Progress Evaluation	USAID/New Delhi and GOI	March 1984
9.	Update of Training Plans with Projections of Training Actions in FY 85 and 86	USAID/New Delhi Technical Offices To PRO/T and ACO	October 1, 1984
10.	In-Depth Evaluation Final Update of Training Plans	USAID/New Delhi	January 1985
11.	Plans with Projections of Training Actions to End of Project	USAID/New Delhi Technical Offices to PRO/T and ACO	October 1, 1985
12.	Final Evaluation	USAID/New Delhi GOI	March 1987
13.	PACD	-do-	June 30, 1987

B. Contracting Mechanism

Several different contract mechanisms will be used to procure the services of training teams. For training courses planned well in advance, a request for technical proposals will be drafted and published with the assistance of the Area Contracting Officer (ACO). Proposals will be evaluated by an appropriate technical panel of GOI and Mission representatives and contracts awarded on a direct-AID contract basis. Contract negotiation will be done by the ACO or AID/W. It is also anticipated that the Mission will tap into Central Bureau PASAs and contracts when relevant training courses are available. Work orders against indefinite quantities contracts will be issued if there is no time to open the procurement to competition and no central bureau contracts are appropriate. In all cases, individuals on the teams will be cleared with the GOI.

C. Monitoring & Evaluation Plan

A comprehensive evaluation of each training program supported under the project can be a valuable learning tool in planning and implementing subsequent training programs. Accordingly, considerable attention will be devoted to evaluating the project training programs themselves and the impact these programs have on the performance of the individuals trained and on the organizations they represent.

1. On-Going Monitoring and Evaluation

a. Monitoring & Evaluation By Mission Training Office

The Mission training office will set up a system to provide project personnel with on-going feedback on the success of the in-country and out

of country training programs from the participants' and to the extent possible, their supervisors' points of view. The Mission and the GOI will cooperate to develop three general types of questionnaires, which will vary somewhat depending on the type of training being evaluated, i.e. long-term, short-term, in-country or out of country. The first questionnaire will be distributed to each participant and, if appropriate, to his or her supervisor prior to the initiation of a program. This questionnaire will seek to determine what the training expectations of the participant and of the organization are perceived to be, and how the training program is expected to address perceived weaknesses. This will not only provide baseline data for the future evaluations, it will also encourage the participant to focus on what he or she expects to get out of the program, and, in certain circumstances, may influence the specific content of the program. The second questionnaire will be distributed to each participant immediately upon completion of training and will invite opinions on the quality of material presented; the relevance of the material to the participant, his or her organization and India on the whole; the delivery of the material; how the information or knowledge acquired can be applied by the participant in his or her job; and elements of the program which should be handled differently in future programs. The questionnaire will also ask for comments on the quality of logistic support received under the program. The third questionnaire will be sent to participants and supervisors six and twelve months after completion of the program and will focus on assessing the impact of training on job performance; the effect professional position and prior training and education had on attitudes toward training; and the individual's and organization's requirements for future training programs. To complement the written feedback, participants and supervisors will be selected on a random basis for oral interviews soliciting responses to questions similar to those on the questionnaire. The questionnaires and interviews will be used to provide the Mission with a periodic analysis of all training programs sponsored under the project.

**b. Monitoring & Evaluation by Mission Technical Offices**

Appropriate Mission technical personnel will monitor all in-country training programs and upon completion of programs will prepare a short written evaluation of the training team's performance. The evaluation will discuss the quality and relevance of material presented, the effectiveness of the contractor's delivery, the program's specific strengths and weaknesses and special recommendations for improvements. The evaluation will also include a section on the program's potential for replication at similar institutions or businesses.

Mission technical staff will be responsible for debriefing a selected number of participants returning from overseas training programs and reviewing a sample of completed questionnaires completed by individuals who received overseas training to determine the value and impact of overseas training.

**c. Evaluation by Contract Training Teams**

Contractors presenting in-country training will be required to submit, prior to departure, a report which includes the following information:

- i) number of training days given;

- ii) number of participants successfully completing the training (usually defined in terms of satisfactory attendance);
- iii) unanticipated training problems;
- iv) contractor assessment of participants responses to training; and
- v) types of preparatory activities which would have contributed to the success of the program.

Contract training teams will be encouraged to conclude their programs by involving participants in group discussions on the strengths and weaknesses of the program.

Contractors and institutions providing short term overseas training will be requested to provide similar data while those providing long term overseas training will be required to submit regular reports on participant progress.

## 2. Quarterly Monitoring & Evaluation

As mentioned earlier, the joint working group is expected to meet an average of once per quarter. During these meetings, project progress will be reviewed and evaluated. Particular attention will be paid to determining the performance of AID in responding to GOI training requests, the availability of sufficient slots in training courses for both public and private sector participants, the availability of suitable participant candidates given organizational personnel requirements, and the propensity of participants to return to the positions they held prior to training. If the joint working group is not satisfied that the project is meeting expectations, implementation procedures will be refined or altered as necessary.

## 3. Mid-Project and End of Project Evaluation

In-depth project evaluations will be conducted 2 1/2 years after the initial obligation of funds and three months prior to the project assistance completion date. Evaluation teams will spend approximately 4 weeks each time assessing the impact of the project. The teams will consist of representatives from the GOI, the Mission, S&T/IT and outside consultant assistance where necessary. In addition to utilizing the data collected under the on-going feedback system, the evaluation teams will interview GOI personnel, Mission personnel, former participants and their managers to determine among other things, whether the implementation of related AID projects improved as a result of the training programs; whether the overall performance of relevant individuals and organizations improved as a result of the project; the effect of addressing training needs on an organizational basis rather than on an individual basis; the extent to which organizational in-service training demands increased as a result of the project; and the extent to which training programs were replicated.

**PART VI: CONDITIONS AND COVENANTS**

In addition to conditions precedent standard for project agreements between USAID and the GOI, the following conditions will be included in the Project Agreement.

"Prior to the first disbursement under the Grant, or to the issuance by AID of documentation pursuant to which disbursement will be made, the Grantee will, except as the Parties may otherwise agree in writing, furnish to AID in form and substance satisfactory to AID, the names of two representatives and one alternate to serve as GOI representatives to the Project Joint Working Group and as authorized representatives of the Grantee for this Project, together with specimen signature of each such person."

All conditions precedent will require fulfillment within 90 days following signature of the Agreement. In addition to the standard covenants, the following will be included in the Project Agreement:

1. The Grantee will exercise its best efforts to assure that adequate representation is accorded to women in nomination of participants for all training courses offered.

2. The Grantee will exercise its best efforts to make training opportunities known and available to private sector entities and individuals in areas where private sector activity is significant and directly relevant to the achievement of GOI/AID development objectives.

# U.S.A.I.D. ORDER

June 9, 1982

June 9, 1982

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1000.04

**PARTICIPANT TRAINING: PROCEDURES -  
Nominations, Documentation, Travel  
and Visas of Indian Participants.**

USAID/India

AID Handbook No.10

## I. PURPOSE

This USAID Order provides guidelines for programming and selection of participants, processing of nominations and documentation, and arranging travel and visas, as required, for all Indian participants in A.I.D. training programs conducted in the U.S. and/or third-countries, or in India.

## II. POLICY

Training of nationals of foreign countries receiving U.S. development assistance is specifically authorized in Section 105 of the Foreign Assistance Act of 1961, as amended, for development of human resources, and for planning and implementation of public and private development activities.

Participant training is financed under bilateral projects, and may be provided under centrally and regionally funded activities. The training program is implemented in cooperation with the Government of India (GOI) through a central focal point which is the Ministry of Finance, Department of Economic Affairs (DEA). The USAID office for coordinating all participant training programs is the Training Division of the Program Office (PRO). All participants are subject to AID Participant Training policies, regulations, and reporting procedures stipulated in AID Handbook No. 10.

## III. BACKGROUND

In order to avoid confusion and duplication in dealing with GOI/DEA for obtaining nominations, concurrence or clearance of participants for academic or short-term training under A.I.D. programs, the Deputy Chief, Program Office has been charged with the responsibility of formulating procedures for, and directing and supervising the participant training program. The Training Division of Program Office (PRO/T) coordinates with the USAID technical offices for: implementing the relevant training element of bilateral projects, either direct, or under AID contract or under host country contract, as appropriate; establishing criteria for participant selection; forwarding training announcements and securing official GOI nominations for all centrally or regionally funded programs; preparation of training documentation

(e.g., PIO/Ps, candidates biodata); recommending appropriate training institute/facility for placement of participants; making travel itineraries and ticketing arrangements; initiating requests for obtaining visas; and conducting orientation for participants prior to their departure from India. PRO/T also coordinates with GOI/DEA for developing procedures, and identifying responsibilities for sharing costs of the approved training programs. In addition, PRO/T is responsible for handling all third country training in India (e.g., Nepalese training program).

#### IV. PROCEDURE:

##### A. Selection Criteria

USAID and GOI jointly will ensure that the Indian participant nominees: (1) are citizens of India; (2) are fully aware of the responsibilities they assume when they become participants; (3) are physically fit; (4) have sufficient academic and/or other experience to meet course requirements; (5) possess maturity, emotional stability, and leadership potential enabling them to complete training successfully in an alien environment, away from family and friends; (6) currently occupy a position in their respective organizations, of which the duties are relevant to the training being sought; and (7) have clear understanding of the country's development/project goals, and a strong personal commitment to the planned training and to return home for its utilization.

##### B. Nominations

1. Under Bilateral Projects: All official participant training requests should normally come from DEA. Where participant training is an element of a bilateral project agreement, the USAID technical office will develop jointly with the concerned host agency the scope and objectives of the training, determine the number of participants and duration of training, and participate in the screening of qualified participants. After the screening, the technical office will advise the counterpart host agency to expedite official nominations of selected participants, along with their biodata, copies of academic transcripts and scope of training, through DEA to USAID. Such communication to the host agency will be cleared with PRO, and a copy thereof sent to DEA and PRO/T. DEA will receive and forward officially all nominations with the biodata and copies of academic transcripts to USAID/Program Office for processing. Upon receipt of nominations from DEA, PRO/T will consult with the technical office concerned regarding placement at appropriate institutions in the U.S. or third country, as appropriate, and advise AID/W or the USAID Mission in the country of training accordingly.

2. Under Centrally or Regionally-Funded Projects: Where participant training opportunities are offered by AID/Washington under a centrally or regionally-funded activity, PRO/T will formally announce to DEA the training opportunities available and request it to officially nominate suitable candidates from the concerned central ministries or departments, State Governments, or other public or private institutions. DEA invites such nominations and forwards them to USAID/PRO along with biodatas and copies of academic transcripts for processing. Upon receipt of official nominations from DEA, PRO/T after consultation with the technical office concerned will advise AID/W accordingly.

**3. Invitations:** When technical offices receive invitations directly from institutions in the U.S. or other countries offering either short-term training courses in specialized fields or attendance at a conference/symposium, or observation/study tour for Indian participants, these invitations shall be forwarded to PRO/T with suggestions or recommendations for possible candidates and any other comments. Formal notification to DEA providing the training details and requesting nominations will be sent by PRO/T. Such notification will be cleared with the technical office concerned

When technical offices receive for transmittal invitations in the name of Indian candidates directly selected or accepted by the training institutions, those invitations may be forwarded by the technical offices with a transmittal letter to the persons invited, without making any commitment. The transmittal letters will briefly describe the training course, will advise the candidates to seek necessary GOI clearances through their employing agency and the central technical ministry concerned, and ask them to send USAID a copy of the communication from the GOI approving their participation in the AID-funded program. Based on the evidence of such a GOI communication, PRO/T will advise Mission concurrence to AID/W or third country Mission concerned, which will then arrange to provide the air ticket to the participants invited. The technical offices will clear the transmittal letter with PRO/T, and also provide a copy of the invitation and the transmittal letter to PRO/T together with any further comments or suggestions.

It should be noted, however, that foreign nationals travelling on invitational travel orders are not considered participants. AID funds allocated for participant training are not to be used for invitational travel.

**4. Training Under Contract Arrangements:** Participant training element covered in a bilateral project agreement may also be implemented through contract arrangements, either under AID or host country negotiated contracts when such contracts specifically provide for the training. These contracts are normally those through which development projects are implemented under AID funding. Contract training is initiated and managed by a contractor. While the detailed processes and procedures used by different contractors may vary, AID is responsible for assuring that all participant training is managed under the same rules. PRO/T has overall responsibility for coordination, monitoring and reporting of all AID-funded contract-administered participants. All training under contracts will be accomplished in accordance with the general procedures described in paragraphs B.1 and B.2 above, and the policies, guidance, allowances, documentation, and reporting requirements applicable to contract training given in AID Handbook No.10.

**5. Third Country Training (TCT):** AID-sponsored training of Indian participants may be provided in a third country other than the U.S. and the participant's home country. TCT is generally provided in neighboring countries in the same region, where adequate facilities of the required type are available, and when a particular type of training cannot be given as effectively, or is not available in the U.S. Third Country Training of short duration can also be provided in conjunction with longer term training in the U.S. Examples of such training are: short-term technical courses, seminars, conferences, observation tours, etc. All third country training will be accomplished in accordance with the general procedures described in paragraphs B.1 and B.2 above, and the policies, guidance, allowances, documentation, and reporting requirements applicable to TCT given in AID Handbook No.10.

6. Independently Financed Training: Independently funded (non AID-funded) training can be provided in the U.S. if it is supportive of host country development goals and fully financed by the host government or other sponsor. The host government assumes complete responsibility for such participants through its Embassy in the U.S. AID-financed participants sometimes can be transferred to independently funded status. Some extensions of AID-financed specified training can be approved by the Mission and the host government as independently funded. Assistance in the placement of such participants can be provided by AID on a case-by-case basis. The applicable policies, guidance, financial responsibilities, and other requirements are given in AID Handbook No.10.

7. Within-India Training: AID-financed training of Indian participants can be arranged within-India whenever feasible and specifically provided for in a bilateral agreement between the GOI and the U.S. Government. Normally, within-India training will be financed for non-academic short courses or on-the-job training, and in a specialized field. This training will be provided at Indian institutions or by AID-financed U.S. consultants hired for the purpose, for individuals or groups of participants. Nominations of participants for such training will be received through DEA and processed by PRC/T in coordination with the Mission technical office concerned. Criteria for selection and procedures will generally follow those for overseas training in IV.A and IV.B.1 above.

8. Leadtime: Normally DEA requires 60-90 days leadtime for GOI processing of participant nominations. Training requests requiring less than 30 days leadtime will be processed by DEA only in exceptional cases.

For planning and arranging training programs in the U.S., AID/W (S&T/IT) requires 90 days leadtime in advance of the desired starting date for short-term technical training and 150 days leadtime for long-term academic training.

For training programs to be arranged in a third country, the USAID Mission in that country requires 60-90 days leadtime in advance of the desired starting date.

### C. Processing

#### 1. For Non-Contract Participants:

a. PRO/T reviews nomination documents to ascertain conformance to requirements, consults available information or communicates with AID/W or other Missions on training facilities, and prepares Form AID-1380-1, Project Implementation Order/Participants (PIO/P) as a worksheet providing specific information, such as: description of training requested, funding data, suggested training facilities, etc. PIO/P will have attached biographical data sheet and academic transcripts for each participant and a copy of the letter of request for training from an authorized official of the GOI. Completed PIO/P in requisite number of copies is forwarded to the Office of International Training (S&T/IT), AID/W or a third country Mission for implementation of the training program.

b. Upon receipt of the PIO/P, S&T/IT of the third country training Mission, as the case may be, conducts a review of the documents to determine feasibility of the training, develops a budget based on actual costs, makes plans to arrange the desired training, and advises the Mission accordingly on details of training implementation plan and call forward (date of arrival).

c. PRO/T forwards all training details and the call forward date to DEA, with a copy to the technical ministry and/or the sponsoring institution, with clearance from the Mission technical office concerned to ensure that program content conforms to the training objectives. Any suggestions and recommendations are communicated to S&T/IT or the third-country training Mission for consideration and incorporation into the final program. S&T/IT confirms approval and actual PIO/P budget by cable to the Mission.

d. PRO/T advises the selected participants of the approved training program and travel details, with a copy to DEA and the Mission technical office.

e. PRO/T makes all arrangements for the departure of participants, including finalization of their itineraries, issuance of invitational travel authorization where required, air travel reservations, guidance to the participants for completion of visa applications, and providing pre-departure orientation/briefing on technical and administrative details of training.

## 2. For Contract Participants:

a. When participants are funded under an AID direct contract, all arrangements for training (e.g. placement, maintenance allowance, travel, health and accident insurance, call forward) are made by the contractor. However, the Mission technical office or the contract supervisor shall obtain and provide all the details of the training program, such as names of the participants, their biodata, field and duration of training, description of training, etc. to PRO/T.

b. PRO/T will prepare unfunded copies of PIO/Ps and submit them to S&T/IT for entering into the overall computerized record system.

c. PRO/T will use the contract participants information in preparing the monthly report to AID/W (AID 1380-9) described in the Reports Section below.

## D. Visas and Departure

1. PRO/T is the focal point for assistance in obtaining entry visas for all AID-financed participants and invitees. For participants departing for training in the U.S., PRO/T completes and forwards to Consular Section the Certificate of Eligibility for Exchange Visitor (J-1) Status, Form IAP 66 A, along with the passport and the application for non-immigrant U.S. visa as completed by the participant. The Consular Office grants the visa and returns the passport duly endorsed to PRO/T. Sufficient leadtime, at least one week, should be allowed for obtaining visas from the U.S. Consular Section. For participants departing for training in a third country, PRO/T issues a letter-request to the Embassy of the Country and guides the participants in obtaining visa for that country.

2. Prior to the scheduled departure of the participants, PRO/T obtains air tickets and arranges maintenance/per diem advance to ensure that the participants reach the U.S. (or the country of training) in time to begin their training program.

#### E. Arrival Assistance

PRO/T communicates the date of arrival of the participants to AID/W or the Mission in country of training, so that the participants are received upon arrival and rendered the hospitality and any other assistance required. The assigned programming officer discusses the technical scope and content of the training program with the participants and assures that both the participants and the program are ready to begin.

#### F. Follow-Up

USAID maintains a follow-up program for participants to ensure effectiveness and utilization of their training in development activities. The follow-up program is implemented as follows:

1. PRO/T evaluates, in coordination with the Mission technical offices, the periodic back-up (progress) reports on the participants received from AID/W or the institutions imparting the training, particularly for the academic programs. Where necessary, the participants' sponsoring organizations are notified by PRO/T through DEA and action is initiated for any desired change or extension of program after obtaining DEA concurrence.
2. Upon completion of the training program and return of participants to India, PRO/T:
  - a. Conducts meetings with the returned participants to learn the impact of training, discuss personal problems, if any, experienced during training/travel and status of accounts and professional society membership. Technical offices are involved in these meetings.
  - b. Prepares and arranges formal presentation of Certificates of Achievement, or sends them by mail directly to the participants with a covering letter signed by the Mission Director.
  - c. Maintains personal and/or written contact with returned participants, especially those who received long-term training.
  - d. Arranges to place returned participants on the USICA and AID mailing lists for providing them with relevant literature and selected publications in their fields of interest.
  - e. Maintains an updated Directory of USAID Returned Participants.
  - f. Arranges to renew memberships or to enroll returned participants in AID-approved American professional societies, and to pay for subscriptions to technical professional journals entered in the U.S. (or a third country) during the program, subject to availability of funds.

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  - f. Arranges to renew memberships or to enroll returned participants in AID-approved American professional societies, and to pay for subscriptions to technical professional journals entered in the U.S. (or a third country) during the program, subject to availability of funds.

- g. Undertakes additional follow-up activities, as determined appropriate and feasible.
- h. Submits reports to S&T/IT on significant new developments, accomplishments or problems, or one-time activities worthy of special nota.

G. Reports

PRO/T is responsible for preparing and submitting to AID/W the following reports:

1. Monthly Report of Participants under Grant, Loan or Contract Programs - Form AID 1380-9. Negative reports are required.
2. Monthly Report on Third-Country Training, Report Control Symbol U-137, on Form AID 1380-7. Negative reports are required.
3. Annual Report on Returned Participants Follow-up Activities, Report Control Symbol U-418, along with any "success stories" in narrative form describing achievements or improvements that occurred after the participants' return.

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SAMPLE EVALUATION FORMS TO BE COMPLETED BY RETURNED PARTICIPANTS

Name of Participant ( in Block Letters ) :

Your Designation and Official Address :

Residence :

Date of Arrival in U. S. :

Date of Departure from U. S. :

Arrival Date in India :

Date of reporting to U.S.A.I.D./  
New Delhi upon return to India :

Have you handed over the ticket  
stubs, coupons, etc. to USAID :

How would you like to indicate  
your name in the Certificate of  
Achievement and Your Field of  
Study :

Details of U.S. Program :

D a t e s

Location

Program Details

Date :

Signature of Participant

**U. S. Agency for International Development Mission - India  
QUESTIONNAIRE FOR FOLLOW-UP INTERVIEW WITH  
THE RETURNED PARTICIPANTS**

**PLEASE WRITE LEGIBLY**

Name of Participant \_\_\_\_\_ FY \_\_\_\_\_  
Official Address \_\_\_\_\_ Field of Study \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Country of Training \_\_\_\_\_  
PIO/P Number \_\_\_\_\_ Interviewed by \_\_\_\_\_  
Date of this Report \_\_\_\_\_

(Use continuation Sheet if space provided herein  
is insufficient for any block.)

**(A) PRE-DEPARTURE & TRAVEL :**

1. Please recall the time of your departure from India and tell us if you had any pre-departure orientation in Delhi? If yes, timing and for how long was it?

2. What further information you think should have been given as part of this orientation?

3. You would perhaps remember that there were certain pre-departure arrangements such as relating to visa, medical examination, advance money and travel, etc., to be made for you. Were you satisfied with these? If not, what were the weaknesses?

4. What suggestions can you make for the improvement of pre-departure arrangements for future participants?

5. Did you have any difficulty on your way to Washington and back and also during the period of your training? (Difficulty relating to travel, housing, food, personal and other administrative matters)

6. Did you have personal stopovers enroute to U. S. or on way back to India? Please indicate location and duration of visit(s).

**(B) PROGRAM PLANNING AND TRAINING :**

1. Now coming to your training program, (prior to your departure from India) who planned the details - phases and constituents of your training such as the subjects of your study, the institutions and organizations that you would visit, and topics for your research, etc.?

2. Were you in any way involved in planning the details of your training? If yes, how?

3. Did this Mission supply you with U.S. program details prior to your departure from India?

4. Were you satisfied with final design of your training program in the United States? If not, give details.

5. Now about the actual training, was there anything that you did or saw in it that impressed you as particularly interesting or valuable? Please give details.

6. What part of your training was comparatively less important or the part with which you were not very satisfied or if given a chance, you would have liked to forego?

**(C) FULFILMENT OF OBJECTIVES :**

1. Did you have definite objectives or terms of reference (PIO/P, Proforma, etc.) laid down for your training before the commencement of the program?

2. How far have you accomplished the training objectives set forth by this Mission ?

Partially : \_\_\_\_\_ Why ?

Fully : \_\_\_\_\_

Not at all : \_\_\_\_\_ Why ?

3. In case you found U.S. training somewhat different than that requested by the Government of India, please indicate how was it different and in what aspect ?

4. Did you work for and get any degree/diploma as a part of your training program abroad ? Please give details if applicable in your case.

5. Did you attend any Seminar or Conference in connection with your training program in U.S. ? If so, please give details.

**(D) GENERAL :**

1. Have you subscribed to a U.S. professional society through A.I.D. sponsorship ?  
Please give name (s) and also indicate duration of membership.

2. Perhaps, you intend maintaining Professional contacts in the U.S. (or the country of  
your training). If yes, with whom and how ?

3. Do you have any additional comments that you feel will help improve the U.S.A.I.D.  
sponsored training programs for future Indian participants in your field ?

**THANK YOU**

( Use attached sheet if more space required )

48

PARTICIPANT TRAINING BRANCH  
U.S.A.I.D. MISSION TO INDIA  
(AMERICAN EMBASSY)  
WEST BUILDING, CHANAKYAPURI  
NEW DELHI - 110021, INDIA.

DATE: \_\_\_\_\_

F O L L O W - U P - R E P O R T

(AFTER SIX MONTHS)

1. Summary of Your Training Program :
  
2. Date of Your Return to India :
  
3. Present Residential Address :
  
4. Please confirm below your present address, job title, and employer:

Job Title

Employer and Address of Employer

Your Mailing Address

5. Relation of Present Assignment to Training:

a. What are your present duties?

b. In this job, to what extent do you use your training (please check the appropriate box(s):

1. ( ) I would not be qualified to handle my present job without the special training received as a participant.
2. ( ) In my present job, I use my training regularly.
3. ( ) In my present job, I supervise others who have learned from me or from others, how to do the kind of work for which I myself have been trained.
4. ( ) I have been promoted above the level of my training.
5. ( ) I have changed my position and no longer use the training provided by AID.
6. ( ) I am still in the same field and make regular use of my training.
7. ( ) I make very little, if any, use of my training.
8. ( ) I benefited from my training experiences, but not in the particular way intended in planning the training.

If you have checked 5, 6, 7 or 8, please give your comments.

6. What specific application of training, or other achievements can you attribute to your training since return?

PARTICIPANT TRAINING BRANCH  
U.S.A.I.D. MISSION TO INDIA  
(AMERICAN EMBASSY)  
WEST BUILDING, CHANAKYAPURI  
NEW DELHI - 110021, INDIA.

DATE: \_\_\_\_\_

Q U E S T I O N N A I R E

(AFTER ONE YEAR)

1. Name of the Participant :  
Current Address :  
Official Title :  
Field of Training :  
Date of Return :
2. Position Held :  
(a) Before going to U.S. :  
(b) After return from U.S. :  
(c) At Present :
3. Were you employed in the same field in which you were trained, on your return. If not, do you have any comments?
4. Do you feel that you have been posted in a job that enables you to make the best use of your visit to U.S.?
5. What factors do you feel had the most effect on your success (or lack of success) in using your training?

6. Upon your return, did you experience any problems in getting acceptance of new ideas you wanted to introduce?
7. Do you feel you have adequate opportunity to transmit learnings from your training to others?
8. Have you any additional comments regarding your U.S. program or utilization of your knowledge and experience after return?
9. Can you briefly cite one or two instances in which you were able to directly utilize or implement any new technique or concept from your training program, to a specific work situation?
10. What do you believe is the most important thing for the returning participant to keep in mind as he returns to his country?
11. Have you maintained your membership and/or contact with an American Professional Society? If so, which society and for how long a period?

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ANNEX 3  
PROJECT COMMITTEE REVIEW  
CABLE

08 APR 82  
 TOR: 0855  
 CN: 18184  
 CHRGE: AID

ACTION: AID-12

AIDAC

E.O. 12065: N/A

Project 386-0487

TAGS:

SUBJECT: PROJECT COMMITTEE REVIEW: DEVELOPMENT AND  
 MANAGEMENT TRAINING PROJECT (386-0487)

1. SUMMARY: PROJECT COMMITTEE MEETING WAS HELD MARCH 25, 1982, TO REVIEW SUBJECT PROJECT. IT WAS SUBSEQUENTLY DECIDED THAT APAC WAS NOT NECESSARY SINCE NO MAJOR ISSUES WERE RAISED. A/AA/ASIA HAS APPROVED PID AND MISSION IS ACCORDINGLY AUTHORIZED TO DEVELOP PP. THE MISSION IS REQUESTED TO ADDRESS THE FOLLOWING ISSUES DURING PROJECT DESIGN:

4/12/82  
 09:00  
 ACTION

2. INTERNATIONAL TRAVEL: IT WAS NOTED THAT MISSION PLANS TO ISSUE WAIVER OF HOST COUNTRY REQUIREMENT TO FUND INTERNATIONAL TRAVEL FOR PARTICIPANTS. REQUEST MISSION PROVIDE RATIONALE FOR WAIVER IN PROJECT PAPER.

PRO-3

INFO:

PRO/T

3. PRIVATE SECTOR: AID/W REQUESTS MISSION DISCUSS SPECIFIC WAYS IN THE PP TO INVOLVE PRIVATE SECTOR INDIVIDUALS FROM PRIVATE COMPANIES AND NON-PROFIT ORGANIZATIONS. SUGGEST MISSION CONSIDER INVOLVEMENT OF INDIVIDUALS FROM GOVERNMENT AGENCIES OR ORGANIZATIONS WORKING TO ENCOURAGE PRIVATE INVESTMENT WITHIN INDIA. AS MISSION AWARE, INCREASED PRIVATE SECTOR PARTICIPATION (ESPECIALLY THE INDIGENOUS PRIVATE SECTOR) IN DEVELOPMENT IS AN IMPORTANT AGENCY PRIORITY. QTE BEST EFFORTS UNQTE APPROACH OUTLINED IN PID IS NOT SUFFICIENT TO ADDRESS THIS CONCERN. SPECIFIC MEASURES AS WELL AS TARGETS SHOULD BE OUTLINED IN THE PP.

PD

GO

AAP

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CHRON

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4. PROJECT ADMINISTRATION: HOW WILL ADMINISTRATION OF THIS PROJECT BE HANDLED? THE ADMINISTRATIVE FRAMEWORK SHOULD PROVIDE EFFECTIVE PROCEDURES FOR SELECTION OF QUALIFIED PARTICIPANTS, MANAGEMENT OF PARTICIPANTS IN TRAINING, DEVELOPMENT OF TRAINING PACKAGES, EVALUATION OF RETURNED PARTICIPANTS, AND SELECTION OF WORKSHOP TOPICS. IF PROJECT WILL TAKE ADVANTAGE OF KNOWLEDGE AND SKILLS OF PLANNED RESIDENT COORDINATORS IN IRRIGATION, AGRICULTURAL RESEARCH AND FORESTRY, HOW WILL THIS LINKAGE BE ADMINISTERED AND FUNDED? THESE POINTS SHOULD BE DISCUSSED IN THE PP.

5. INVOLVEMENT OF WOMEN: RECOGNIZING THE LARGE NUMBER OF INDIAN WOMEN WHO ARE QUALIFIED FOR ADVANCED TRAINING, SUGGEST MISSION CONSIDER PLACING A GREATER EMPHASIS ON

Best Available Document

WAYS TO MAXIMIZE THEIR TRAINING OPPORTUNITIES.

6. FOCUS OF PROJECT: RECOGNIZING THAT THE PROJECT WILL CREATE A FLEXIBLE INSTRUMENT FOR RESPONDING TO MISSION PRIORITY NEEDS, SUGGEST MISSION DISCUSS IN THE PP, TO THE EXTENT POSSIBLE, THE RELATIVE EMPHASIS OF THE PROJECT ON TRAINING OBJECTIVES OF TECHNOLOGY TRANSFER, MANAGEMENT TRAINING, LEADERSHIP DEVELOPMENT AND, AS APPROPRIATE, INSTITUTION-BUILDING.

7. DESIGN ASSISTANCE: USAID/INDIA SHOULD CONSIDER REQUESTING A SPECIALIST FROM THE OFFICE OF INTERNATIONAL TRAINING (ST/IT) TO PARTICIPATE IN PROJECT DESIGN.

8. EVALUATION: RECOGNIZING THE DIFFICULTY OF ASSESSING THE IMPACT OF PARTICIPANT TRAINING, THE DESIGN TEAM SHOULD PROVIDE A DETAILED EVALUATION PLAN OUTLINING THE CRITERIA FOR THIS ASSESSMENT. EAGLEFURGER

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LOGICAL FRAMEWORK

-1-

ANNEX 4

<u>PROGRAM OR SECTOR GOAL</u>	<u>MEASURES OF GOAL ACHIEVEMENT</u>	<u>MEANS OF VERIFICATION</u>	<u>ASSUMPTIONS</u>
<p>To contribute to increased institutional capacity of GOI development agencies to plan and implement development activities in sectors of high priority to both the GOI and AID.</p>	<ol style="list-style-type: none"> <li>1. Improved efficiency in delivering services to the rural poor.</li> <li>2. Increased effectiveness of development programs</li> </ol>	<ol style="list-style-type: none"> <li>1. PEO documents</li> <li>2. Agency Annual Reports</li> <li>3. Independent Donor Assessments</li> </ol>	<ol style="list-style-type: none"> <li>1. Foreign Donors maintain levels of ODA in Real Terms</li> <li>2. Five-Year Plan priorities continue to give strong emphasis in these areas.</li> </ol>
<p><u>PROJECT PURPOSE</u></p> <p>To strengthen the managerial and technical capabilities of public, and, where appropriate, private sector manpower in areas of GOI and AID collaboration.</p>	<ol style="list-style-type: none"> <li>1. 75% of graduated participants working in positions where new technologies and management skills are being directly applied.</li> <li>2. Analytical and implementation capability of relevant GOI offices is increased.</li> </ol>	<ol style="list-style-type: none"> <li>1. Returned participants Evaluation Forms</li> <li>2. Returned Participant Workshops</li> <li>3. Program Documentation Implementation Plans, PEO documents.</li> </ol>	<ol style="list-style-type: none"> <li>1. GOI enforces regulations on service requirements for returned participants.</li> <li>2. Organizational values of public and private sector entities permit introduction of new technical and management skills with minimal disruption.</li> <li>3. Persons trained already possessed pre-requisite capabilities in their basic fields.</li> </ol>

**OUTPUTS:**

<ol style="list-style-type: none"> <li>1. Trained Participants in selected fields within the broad areas of food production and rural employment, fertility and mortality reduction, forestry and watershed management and energy.</li> <li>2. Training course materials developed for Indian Trainers in selected fields.</li> </ol>	<ol style="list-style-type: none"> <li>1. 100 participants in the U.S.</li> <li>2. 1200 participants trained in India by consultant teams or at specialized Indian Institutes</li> <li>3. 50 sets of training course materials developed by training consultants</li> </ol>	<ol style="list-style-type: none"> <li>1. AID P10/P documentation</li> <li>2. Consultant Reports</li> </ol>	<ol style="list-style-type: none"> <li>1. These sectors remain areas of priority collaboration between USAID and GOI.</li> <li>2. Sufficient training opportunities in each sector remain available from U.S. institutions, consulting firms, other USG agencies and Indian institutions</li> </ol>
<p><b><u>INPUTS:</u></b></p> <ol style="list-style-type: none"> <li>1. Participant Training (U.S. &amp; Third Country)</li> <li>2. Participant Training (India)             <ol style="list-style-type: none"> <li>a. By Indian institutions</li> <li>b. By consultant teams</li> </ol> </li> <li>3. Monitoring/Evaluation</li> <li>4. Contingency</li> </ol>	<ol style="list-style-type: none"> <li>1. \$ 3,775,000 for 580 person months of training</li> <li>2. \$ 2,000,000 for             <ol style="list-style-type: none"> <li>a. 185 person months of training</li> <li>b. 150 person months of consultant training teams</li> </ol> </li> <li>3. \$ 100,000</li> <li>4. \$ 225,000</li> </ol>	<ol style="list-style-type: none"> <li>1. AID/P10/P documentation</li> <li>2. PILs</li> <li>3. Contract documents</li> </ol>	<p>Availability of funds</p>

INPUTS:

G01

G01

1. Participant Salaries and Allowances	1. \$ 1,700,000
2. Participant Travel (Domestic)	2. \$ 50,000
3. Other Training related expenses	3. \$ 350,000

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## 5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria applicable generally to FAA funds, and criteria applicable to individual fund sources: Development Assistance and Economic Support Fund.

A. GENERAL CRITERIA FOR COUNTRY ELIGIBILITY

1. FAA Sec 116. Can it be demonstrated that contemplated assistance will directly benefit the needy? If not, has the Department of State determined that this Government has engaged in a consistent pattern of gross violations of internationally recognized human rights?

The project will indirectly benefit the poor in several priority sectors by increasing the technical and management skills of GOI agencies involved in development activities. The Department of State has not found India to engage in a consistent pattern of gross violation of internationally recognized human rights.

2. FAA Sec. 113. Has particular attention been given those programs, projects, and activities which tend to integrate women into the national economies of developing countries, thus improving their status and assisting the total development effort?

3. FAA Sec. 481. Has it been determined that the government of the recipient country has failed to take adequate steps to prevent narcotic drugs and other controlled substances (as defined by the Comprehensive Drug Abuse Prevention and Control Act of 1970) produced or processed, in whole or in part, in such country, or transported through such country, from being sold illegally within the jurisdiction of such country to U.S. Government personnel or their dependents, or from entering the U.S. unlawfully?

No

4. FAA Sec. 620(b). If assistance is to a government, has the Secretary of State determined that it is not dominated or controlled by the international Communist movement?

Yes

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- A. 5. FAA Sec. 620(c). If assistance is to a government, is the government liable as debtor or unconditional guarantor on any debt to a U.S. citizen for goods or services furnished or ordered where (a) such citizen has exhausted available legal remedies and (b) the debt is not denied or contested by such government? **No.**
6. FAA Sec. 620(e)(1). If assistance is to a government, has it (including government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities? **No.**
7. FAA Sec. 620(a), 620(f), 620D; Continuing Resolution Sec. 511, 512 and 513; ISDCA of 1980 Secs. 717 and 721. Is recipient country a Communist country? Will assistance be provided to Angola, Cambodia, Cuba, Laos or Vietnam? (Food and humanitarian assistance distributed directly to the people of Cambodia are excepted). Will assistance be provided to Afghanistan or Mozambique without a waiver? Are funds for El Salvador to be used for planning for compensation, or for the purpose of compensation, for the confiscation, nationalization, acquisition or expropriation of any agricultural or banking enterprise, or property or stock thereof? **No. The recipient country is not a communist country. Assistance will not be provided to any of the countries mentioned.**
8. FAA Sec. 620(i). Is recipient country in any way involved in (a) subversion of, or military aggression against, the United States or any country receiving U.S. assistance, or (b) the planning of such subversion or aggression? **AID is not aware of any such involvement.**

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9. FAA Sec. 620(j). Has the country permitted, or failed to take adequate measures to prevent, the damage or destruction, by mob action, of U.S. property?

No.

10. FAA Sec. 620(k). Does the program furnish assistance in excess of \$100,000,000 for the construction of a productive enterprise, except for productive enterprises in Egypt that were described in the Congressional Presentation materials for FY 1977, FY 1980 or FY 1981?

No.

11. FAA Sec. 620(l). If the country has failed to institute the investment guaranty program for the specific risks of expropriation, inconvertibility or confiscation, has the AID Administrator within the past year considered denying assistance to such government for this reason?

N/A

12. FAA Sec. 620(o); Fishermen's Protective Act of 1967, as amended, Sec. 5. If country has seized, or imposed any penalty or sanction against, any U.S. fishing activities in international waters,

No such actions have been taken against U.S. fishing activities in international waters.

a. has any reduction required by the Fishermen's Protective Act been made?

b. has complete denial of assistance been considered by AID Administrator?

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13. FAA Sec. 620(g); Continuing Resolution Sec. 518.  
(a) Is the government of the recipient country in default for more than six months on interest or principal of any AID loan to the country? (b) Is the country in default exceeding one year on interest or principal on any U.S. loan under a program for which the Continuing Resolution appropriates funds?

No

No.

14. FAA Sec. 620(s). If contemplated assistance is development loan or from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget which is for military expenditures, the amount of foreign exchange spent on military equipment and the amount spent for the purchase of sophisticated weapons systems? (An affirmative answer may refer to the record of the annual "Taking into Consideration" memo: "Yes, taken into account by the Administrator at time of approval of Agency OYB." This approval by the Administrator of the Operational Year Budget can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.)

Yes. India spends a relatively small amount of its foreign exchange on military equipment. Latest available figures are an estimated \$ 300 million military imports or 4% of \$ 7.5 billion in total foreign exchange in FY 80.

15. FAA Sec. 620(t). Has the country severed diplomatic relations with the United States? If so, have they been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

Diplomatic Relations have not been severed.

16. FAA Sec. 620(u). What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the AID Administrator in determining the current AID Operational Year Budget?

India is not in arrears regarding its U.N. Obligations.

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17. FAA Sec. 620A; Continuing Resolution Sec. 521. Has the country aided or abetted, by granting sanctuary from prosecution to, any individual or group which has committed an act of international terrorism?

\_\_\_\_\_

\_\_\_\_\_

No.

18. FAA Sec. 666. Does the country object, on the basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. who is present in such country to carry out economic development programs under the FAA?

No.

19. FAA Sec. 669, 570. Has the country, after August 3, 1977, delivered or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards? Has it detonated a nuclear device after August 3, 1977, although not a "nuclear-weapon State" under the nonproliferation treaty?

Based on information received from the State Department/Embassy the answer to both these questions is no.

B. FUNDING SOURCE CRITERIA FOR COUNTRY ELIGIBILITY

1. Development Assistance Country Criteria.

a. FAA Sec. 102(b)(4). Have criteria been established and taken into account to assess commitment progress of the country in effectively involving the poor in development, on such indexes as: (1) increase in agricultural productivity through small-farm labor intensive agriculture, (2) reduced infant mortality, (3) control of population growth, (4) equality of income distribution, (5) reduction of unemployment and (6) increased literacy.

Yes. These criteria are based on India's Five Year Development Plan period (1980-1985) and are incorporated in the Country Development Strategy Statement (CDSS)



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5C(2) PROJECT CHECKLIST

Listed below are statutory criteria applicable generally to projects with FAA funds and project criteria applicable to individual funding sources: Development Assistance (with a subcategory for criteria applicable only to loans); and Economic Support Fund.

CROSS REFERENCES: IS COUNTRY CHECKLIST UP TO DATE? **Yes**

HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PROJECT? **Yes**

A. GENERAL CRITERIA FOR PROJECT

1. Continuing Resolution Unnumbered; FAA Sec. 634A; Sec. 653(b).

(a) Describe how authorizing and appropriations Committees of Senate and House have been or will be notified concerning the project; (b) is assistance within (Operational Year Budget) country or international organization allocation reported to Congress (or not more than \$1 million over that amount)?

a) Congressional Committees have been notified through the Congressional Notification Procedure.

b) Yes.

2. FAA Sec. 611(a)(1). Prior to obligation in excess of \$100,000, will there be (a) engineering; financial other plans necessary to carry out the assistance and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?

a) Yes.

b) Yes.

3. FAA Sec. 611(a)(2). If further legislative action is required within recipient country, what is basis for reasonable expectation that such action will be completed in time to permit orderly accomplishment of purpose of the assistance?

None Required.

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A. 4. FAA Sec. 611(b); Continuing Resolution Sec. 501. If for water or water-related land resource construction, has project met the standards and criteria as set forth in the Principles and Standards for Planning Water and Related Land Resources, dated October 25, 1973?

N/A

5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and all U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability effectively to maintain and utilize the project?

N/A

6. FAA Sec. 209. Is project susceptible of execution as part of regional or multilateral project? If so why is project not so executed? Information and conclusion whether assistance will encourage regional development programs.

No. The project may benefit some public and private organizations with which other donors are working, but assistance provided by USAID is strictly confined to areas of USAID/GOI development priorities

7. FAA Sec. 601(a). Information and conclusions whether project will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; and (c) encourage development and use of cooperatives, and credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

- a) Marginal. May result in some increased import of technologies and related hardware
- b) Yes
- c) Possible
- d) Yes
- e) Yes
- f) No

8. FAA Sec. 601(b). Information and conclusion on how project will encourage U.S. private trade and investment abroad and encourage private U.S.

U.S. technical assistance for training will be provided under the project. Also, some training may create demand for import of U.S. technology and related hardware.

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A.O. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

9. FAA Sec. 612(b), 636(h); Continuing Resolution Sec. 508. Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized to meet the cost of contractual and other services.

The GOI will contribute sufficient budget support through already allocated amounts for salaries, travel, and misc. expenses of participants in India.

10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?

U.S. owned Rupees are used for various U.S. Government agencies' program and administrative support. They are expected to be liquidated over the next seven years.

11. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

Yes.

12. Continuing Resolution Sec. 522. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity?

N/A.

B. FUNDING CRITERIA FOR PROJECT

1. Development Assistance Project Criteria

a. FAA Sec. 102(b), 113, 281(a). Extent to which activity will (a) effectively involve the poor in development, by extending access to economy at local level, increasing labor-

All these represent both purpose and goal level intent of the project.

a) Involvement of the poor may increase due to better trained field workers who can assist the poor in identifying their needs and mobilizing resources for them.

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B.1.a. intensive production and the use of appropriate technology, spreading investment out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using the appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries?

b. FAA Sec. 103, 103A, 104, 105, 106, 107. Is assistance being made available: (include only applicable paragraph which corresponds to source of funds used. If more than one fund source is used for project, include relevant paragraph for each fund source.)

(1) [103] for agriculture, rural development or nutrition; if so (a) extent to which activity is specifically designed to increase productivity and income of rural poor; 103A if for agricultural research, full account shall be taken of the needs of small farmers, and

- b) Some training in Coop. may be offered.
- c) Objective is to build managerial and specific technical capacity with GOI and selected private sector institutions.
- d) Atleast 15% of training slots will be reserved for women.
- e) Some training will be carried out in third countries within area.

The project will provide technical and managerial training in all areas covered by Sec. 103, including training to improve research capabilities.

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8.1.b.(1) through encouragement of increased production of crops with greater nutritional value, improvement of planning, research, and education with respect to nutrition, particularly with reference to improvement and expanded use of indigenously produced foodstuffs; and the undertaking of pilot or demonstration of programs explicitly addressing the problem of malnutrition of poor and vulnerable people; and (c) extent to which activity increases national food security by improving food policies and management and by strengthening national food reserves, with particular concern for the needs of the poor, through measures encouraging domestic production, building national food reserves, expanding available storage facilities, reducing post harvest food losses, and improving food distribution.

(2) [104] for population planning under sec. 104(b) or health under sec. 104(c); if so, (i) extent to which activity emphasizes low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems and other modes of community research.

(4) [105] for education, public administration, or human resources development; if so, extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, or strengthens management capability of institutions enabling the poor to participate in development;

Sec. 104 C, training will focus on service delivery, public health and rural health management. Special attention is given to training of trainers and communications at village level for preventive health care.

Primary aim is to strengthen management and selected technical capabilities to address needs of the poor to participate in solving their own development problem.

(4) (106) for technical assistance, energy, research, reconstruction, and selected development problems; if so, extent activity is:

N/A.

(i) technical cooperation and development especially with U.S. private and voluntary, or regional and international development, organizations;

(ii) to help alleviate energy problems;

(iii) research into, and evaluation of, economic development processes and techniques;

(iv) reconstruction after natural or manmade disaster;

(v) for special development problem and to enable proper utilization of earlier U.S. infrastructure, etc., assistance;

(vi) for programs of urban development, especially small labor-intensive enterprises, marketing systems, and financial or other institutions to help urban poor participate in economic and social development.

c. [107] Is appropriate effort placed on use of appropriate technology?

Yes, in all fields of training. Focus will be on adapting imported technologies and techniques.

d. FAA Sec. 110(a). Will the recipient country provide at least 25% of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or has the latter cost-sharing requirement been waived for a "relatively least-developed" country)?

Yes.

e. FAA Sec. 110 (b) Will grant capital assistance be disbursed for project over more than 3 years? If so, has justification satisfactory to the Congress been made, and efforts for other financing, or is the recipient country "relatively least developed"?

N/A

f. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in skills required for effective participation in governmental and political institutions essential to self government.

The project addresses the need for increased institutional capacity to plan and manage resources for rural development. Training focusses on improving Indian institutions through enhanced training of staff in-place.

g. FAA Sec. 122(b). Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase of productive capacities and self-sustaining economic growth?

Yes.

2. Development Assistance Project Criteria  
(Loans Only)

a. FAA Sec. 122(b). Information and conclusion on capacity of the country to repay the loan, including reasonableness of repayment prospects.

N/A

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8.2.---

b. FAA Sec. 620(d). If assistance is for any productive enterprise which will compete with U.S. enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20% of the enterprise's annual production during the life of the loan?

N/A

3. Project Criteria Solely for Economic Support Fund

a. FAA Sec. 531(a). Will this assistance promote economic or political stability? To the extent possible, does it reflect the policy directions of FAA Section 102?

N/A

b. FAA Sec. 533. Will assistance under this chapter be used for military, or paramilitary activities?

N/A

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5C(3) - STANDARD ITEM CHECKLIST

Listed below are the statutory items which normally will be covered routinely in those provisions of an assistance agreement dealing with its implementation, or covered in the agreement by imposing limits on certain uses of funds.

These items are arranged under the general headings of (A) Procurement, (B) Construction, and (C) Other Restrictions.

A. Procurement

- 1. FAA Sec. 602. Are there arrangements to permit U.S. small business to participate equitably in the furnishing of commodities and services financed? Yes
  
- 2. FAA Sec. 604(a). Will all procurement be from the U.S. except as otherwise determined by the President or under delegation from him? Procurement will be from the U.S. or the host country, except as otherwise determined.
  
- 3. FAA Sec. 604(d). If the cooperating country discriminates against U.S. marine insurance companies, will commodities be insured in the United States against marine risk with a company or companies authorized to do a marine insurance business in the U.S.? N/A
  
- 4. FAA Sec. 604(e); ISDCA of 1980 Sec. 705(a). If offshore procurement of agricultural commodity or product is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity? N/A
  
- 5. FAA Sec. 603(a) Is the shipping excluded from compliance with requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 per centum of the gross tonnage of commodities (contd') N/A
  
- 6. FAA Sec. 608(a). Will U.S. Government excess personal property be utilized wherever practicable in lieu of the procurement of new items? N/A

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A.5. (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S.-flag commercial vessels to the extent that such vessels are available at fair and reasonable rates?

6. FAA Sec. 621. If technical assistance is financed, to the fullest extent practicable will such assistance, goods and professional and other services be furnished from private enterprise on a contract basis? If the facilities of other Federal agencies will be utilized, are they particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

Most of the consultant teams will be contracted from private organizations and universities. In cases where another Federal Agency is used, determination will be made that such use is not competitive with private enterprise or unduly interferes with domestic programs.

7. International Air Transport. Fair Competitive Practices Act, 1974. If air transportation of persons or property is financed on grant basis, will provision be made that U.S. carriers will be utilized to the extent such service is available?

Yes

8. FY 79 App. Act Sec. 105. Does the contract for procurement contain a provision authorizing the termination of such contract for the convenience of the United States?

Yes

B. Construction

1. FAA Sec. 601(d). If capital (e.g., construction) project, are engineering and professional services of U.S. firms and their affiliates to be used to the maximum extent consistent with the national interests?

N/A

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- B. 2. FAA Sec. 611(c). If contracts for construction are to be financed, will they be let on a competitive basis to maximum extent practicable? N/A
3. FAA Sec. 620(k). If for construction of productive enterprise, will aggregate value of assistance to be furnished by the U.S. not exceed \$100 million? N/A
- C. Other Restrictions
1. FAA Sec. 122(b). If development loan, is interest rate at least 2% per annum during grace period and at least 3% per annum thereafter? N/A
2. FAA Sec. 301(d). If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights? N/A
3. FAA Sec. 620(h). Do arrangements exist to insure that United States foreign aid is not used in a manner which, contrary to the best interests of the United States, promotes or assists the foreign aid projects or activities of the Communist-bloc countries? Yes.

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C. 5. Will arrangements preclude use of financing:

- a. FAA Sec. 104(f). To pay for performance of abortions as a method of family planning or to, motivate or coerce persons to practice abortions; to pay for performance of involuntary sterilization as a method of family planning, or to coerce or provide financial incentive to any person to undergo sterilization? N/A
- b. FAA Sec. 620(g). To compensate owners for expropriated nationalized property? N/A
- c. FAA Sec. 660. To provide training or advice or provide any financial support for police, prisons, or other law enforcement forces, except for narcotics programs? Yes
- d. FAA Sec. 662. For CIA activities? Yes
- e. FAA Sec. 636(i). For purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U.S., unless a waiver is obtained. Such financing is not permitted.
- f. FY 79 App. Act Sec. 104. To pay pensions, annuities retirement pay, or adjusted service compensation for military personnel? Yes.
- g. FY 79 App. Act Sec. 106. To pay U.N. assessments, arrearsages or dues. Yes.
- h. FY 79 App. Act Sec. 107. To carry out provisions of FAA section 209(d) (Transfer of FAA funds to multilateral organizations for lending.) Yes
- i. FY 79 App. Act Sec. 112. To finance the export of nuclear equipment fuel, or technology or to train foreign nationals in nuclear fields? Yes.
- j. FY 79 App. Act Sec. 601. To be used for publicity on propaganda purposes within United States not authorized by the Congress? Yes.

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IDENTIFICATION AND SCOPE OF TRAINING NEEDS

ANNEX 6

U.S. AID OBJECTIVE: FOOD PRODUCTION & RURAL EMPLOYMENT/FORESTRY/WATERSHED MANAGEMENT

<u>Skill Area</u>	<u>Type of Persons to be Trained</u>	<u>Number</u>	<u>Place of Training</u>
1. Management of Research and Studies In Irrigation	Sr. level	4	U.S.
2. Specialized Studies in Irrigation/ Water Resources	Mid level	5	U.S. or India
3. Watershed Management/Erosion Control	Sr. & Mid level	4	U.S. or India
4. Resource Development of Watershed Lands	Sr. level	4	U.S.
5. Irrigation Technology	Sr. & mid level	6	U.S.
6. Soil Testing, Soil Classification and Fertility Management	Mid level	4	U.S.
7. Irrigation and Hydraulics, Water Management & Harvesting, Soil-Plant Atmosphere Systems	Mid level	4-10	U.S. or India (U.S. Team)
8. Efficient Fertilizer Use	Mid & Sr. level	4-10	U.S. or India (U.S. Team)
9. Agricultural Policy, Project Planning and Analysis	Sr. level	8	U.S. or India
10. Economic Forecasting	Sr. level	6	U.S. or India
11. Land Use Planning In Natural Resource Management	Mid & Sr. level	4	U.S.
12. Hydrology	Mid level	20	India (U.S. team)
13. Sedimentation Forecasting	Mid level	6	U.S.
14. Flood Forecasting	Mid level	20	Indian (U.S. team)

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<u>Skill Area</u>	<u>Type of Persons to be Trained</u>	<u>Number</u>	<u>Place of Training</u>
15. Rural Development	Sr. level	6	U.S. or India
16. Seed Improvement	Mid level	6	U.S.
17. Irrigation Planning & Operation	Sr. mid & Jr. levels	40-60	U.S. and India (U.S. Consultant Teams)
18. Soil Conservation technology and policy requirements	Mid level	4	U.S. or India
19. Forestry	Mid level	4	U.S. or India
20. Livestock disease control methodology	Mid level	4	U.S.
21. Fisheries	Mid level	4	U.S.
22. Agriculture Communications and Media Strategy	Sr. & mid levels	18	U.S. or India (U.S. Consultant Team)
23. Agricultural Extension	Sr. mid. & Jr. levels	65	U.S. or India (U.S. Consultant Team)
24. Vocational agriculture training	Mid & Jr. levels	30	U.S. and India (U.S. Consultant Team)
25. Soybean processing	Sr. & Mid levels	6	U.S.
26. Basin resource systems analysis planning	Sr. level	8	U.S.
27. Irrigation systems management	Sr. & mid levels	15	India (U.S. team)
28. Legume production technology	Mid level	5-10	U.S.
29. Oilseed production technology	Mid level	1	U.S.
30. Crop pest management	Mid to Sr. level	5-10	U.S.

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<u>Skill Area</u>	<u>Type of Persons to be Trained</u>	<u>Number</u>	<u>Place of Training</u>
31. Agricultural machinery tech.development	Mid to Sr level	5-10	U.S.
32. Alternative energy technologies and economics of substitution in agricultural production systems	-do-	5-10	U.S. and India (U.S. team)
33. Marketing, storage and transportation systems	-do-	5-10	U.S. and India (U.S. team)
34. Adopting post harvest technologies to local village conditions	-do-	5-10	India (U.S. team)

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**U.S. AID OBJECTIVE: MORTALITY REDUCTION (HEALTH AND NUTRITION)**

<u>Skill Area</u>	<u>Type of Persons to be Trained</u>	<u>Number</u>	<u>Place of Training</u>
1. Health Administration/Public Management	Center, State and District Level Officials; Selected Private Sector Institutions	25-30	U.S. (Upto 10 persons) India (U.S. Consultant team)
2. Management of Rural Health Services	-do-	20	U.S. (3-5) India (U.S. Consultant Team)
3. Materials Management/Logistics )	-do-	50	U.S. (Upto 5 persons) India (U.S. Consultant Teams and Indian Institutions)
4. Management Information Systems )			
5. Personnel Management for Health Workers )			
6. Health Economics Planning )			
7. Policy Research & Planning )			
8. Organizational Analysis/Systems Analysis )	-do-	40	U.S. (Upto 5 persons) India (U.S. Consultant Teams and Indian Institutes)
9. Financial Analysis & Planning )			
10. Epidemiology	Indian Council of Medical Research Staff and Staff from National Institute of Communicable Diseases; MOHFW Public Health Division, All-India Institute of Hygiene and Public Health, National Institute of Diarrhoeal Disease.	10-12	(2-4) U.S. & India (U.S. Consultant Team)

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<u>Skill Area</u>	<u>Type of Persons to be trained</u>	<u>Number</u>	<u>Place of Training</u>
11. Communications Technology	Center (MOHFW) and selected State Officials Central and Regional Training Institutes	10 100	U.S. India (U.S. Consultant Team)
12. Methodologies for Training of Health and Nurse Trainers	Central and Regional Health and Family Welfare Training Institutes; Nursing Institutes (Public and Private Sector)	35-40	India (U.S. Consultant Team)
13. Design and Production of Village Training Materials; Village Teaching Methods	Private Sector PVOs; State level and District level Officials	20-30	India (Indian or U.S. Consultants)
14. Microbiology and bacteriology of maternal infections and low birth weight	Scientists from selected research institutions conducting studies on maternal infection and pregnancy outcomes	15	U.S. (Up to 10) India (U.S. Consultant Team - 15)
15. Food Inventory Management and Logistics	Public and Private Sector Entities (FCI, VolAgs, etc)	10-15	U.S. (2 Persons) India (U.S. Consultant Teams)
16. Disaster Management	Voluntary Agencies	20	India (U.S. Consultant Team)

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**U.S. AID OBJECTIVE: FERTILITY REDUCTION AND POPULATION PLANNING**

<b><u>Skill Area</u></b>	<b><u>Type of Persons to be Trained</u></b>	<b><u>Number</u></b>	<b><u>Place of Training</u></b>
1. Operations Research	State-Level Family Planning Program Administrators	10	India (Consultant Team)
2. Bio Medical Workshops on non-Surgical Sterilization and Systematic Contraception	Research Physicians (Public and Private Sector)	8-12	U.S. (for 2 Senior Individuals) India (U.S. Consultant Team)
3. Epidemiology (Surveillance of Safety and Effectiveness of Fertility Regulation Methods)	Physicians/Sociologists (Public and Private Sector)	25	U.S. (for 3-5 Senior Persons) India (U.S. Consultant Team)
4. Census Analysis and Data Management	Statisticians and Demographers	30	U.S. (Bureau of Census) India (BUCEN Team)
5. Vital Registration	State Officials, District Level Officers, Center Statistics Officers	8 (State Centre) 200 (District level)	U.S. India (Consultant Team)
6. Evaluation and Survey Research	GOI/Center Program Evaluators and Statisticians State Level Technicians from Demographic Research Centers, Domestic PVOs.	8 8	U.S. India (U.S. Consultant Team or Indian Institution)

**U.S. AID OBJECTIVE: INDUSTRIAL DEVELOPMENT and ENERGY CONSERVATION/EFFICIENCY**

<b><u>Skill Area</u></b>	<b><u>Type of Persons to be Trained</u></b>	<b><u>Number</u></b>	<b><u>Place of Training</u></b>
1. Credit Management	Public & Private Sector	10-20	U.S. and India (U.S. Consultant Teams)
2. Quality Control for Small & Medium Scale Industry	-do-	5-10	U.S.
3. Production Technologies (Various Lines)	Managers & Public Sector Officials	5-10	U.S.
4. Inventory Management for Industry (Various Lines)	-do- -do-	5-10	U.S.
5. Marketing (Various Lines)	-do-	10-15	U.S. and India (U.S. Consultant Team and/or Indian Institute)
6. Software development with respect to simulator technology	Mid level plant personnel	2	U.S.
7. Power Plant Performance	-do-	2	U.S.
8. Power System Management	-do-	2	U.S.
9. Thermal Power Plant Operation	Power Plant Operators	20	India (U.S. team)
10. Furnace and Burner Management Systems	Mid-level plant personnel	20	India (U.S. team)
11. Observation Tour - Manpower Development and training associated with power generation	-do-	2	U.S.

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UNITED STATES GOVERNMENT

# Memorandum

TO : Ms. Priscilla M. Boughton, Director  
Thru : Dr. Richard M. Brown, Deputy Director  
FROM : John R. Westley, Chief, Program Office

DATE: September 24, 1982

SUBJECT: Project Authorization for Development & Management  
Training Project (386-0487)

You are requested to authorize a \$ 6.1 million grant for the Development and Management Training Project (386-0487). Of the \$ 6.1 million, \$ 2.1 million will come from the Food and Nutrition account (Section 103), \$ 0.3 million from the Health account (Section 104b), and \$ 3.7 million from the Education and Human Resources account (Section 105).

Discussion: To facilitate sustained economic development in India it is essential to upgrade the technical and managerial skills of the organizations participating in the development process. Consequently, the majority of the AID projects in the India portfolio have professional development or training components. Often, however, USAID receives requests for training to which it is unable to respond because the training, while relevant to our objectives, cannot be justified under a specific project or has not been financially planned for. In many cases, these training requests represent an opportunity to acquire a better understanding of a sector in which USAID intends to support future projects.

The Development and Management Training Project will enable USAID to provide training that it may not otherwise be able to provide to mid-level and junior officials responsible for planning and implementing projects in sectors of high priority to both the GOI and AID. Most of the training sponsored under the project will be short term training in India and will be conducted by Indian educational institutions or by Indian or American consultant training teams. In-country training will increase the likelihood that course material is relevant to existing conditions in India and, because of low per trainee costs, will increase the number of individuals who can be trained. In planning the training programs, particular attention will be paid to assessing and addressing training needs on an organizational rather than individual basis. It is believed that a training program developed and conducted for a specific organizational unit can create a critical mass of technical and managerial skills, and influence significantly a unit's policies and procedures.

Training will also be conducted outside of India, in the United States and, where appropriate, in third countries. This will enable participants to observe different managerial and technical procedures, and will provide



valuable contact with peers at the international level. The majority of this training will be short term; however, a minimal amount of long term training is also planned.

A numerical target of 1300 trained individuals has been set. Approximately 1200 of these individuals will receive training in India with the remaining individuals to be trained in the U.S. or third countries. The project is designed primarily to provide training to public sector personnel, because in the development areas where training will be offered, the public sector is the dominant provider of goods and services. In areas where the private sector plays a significant role, however, a special effort will be made to recruit private sector participants.

#### WAIVER

In authorizing this project, it is necessary to waive the Handbook 10 requirement that the host country finance international travel. The waiver request is based upon an individual Ministry's inability to budget for international travel when the precise number of participants and nature of the training costs each year are unknown. GOI discretionary funds for travel are limited, and are used primarily for conferences and official representation abroad. Additional justification in the form of a previous waiver signed by you is contained in Annex 11. The formal waiver request is contained in the authorization.

#### SOURCE AND ORIGIN:

The authorized source and origin of goods and services procured under the project will be the United States and the cooperating country. As the project paper indicates, however, a limited amount of short term training may take place in geographic Code 941 countries. In these instances, waiver of source and origin requirements will be requested on a case by case basis in accordance with the provisions of redelegation of authority 40.10.

#### FAA SECTION 612 (b)

When the development assistance program in India was re-established in FY 1978 the Development Coordinating Committee on December 21, 1977, determined that project local costs could be dollar financed rather than funded with U.S. owned excess rupees. This policy was reaffirmed by PPC by memorandum dated March 7, 1980, with the understanding that henceforth all interested parties would have an opportunity to express their views on the matter at the annual CDSS and ABS reviews. Consistent with this policy, the ABS for FY 1984 which included the Development and Management Training Project was reviewed and approved by AID/W thus confirming the use of dollars for local costs of the project. The ABS review message received from AID/W does not indicate any objection to continuation of this policy. Therefore the provisions of Section FAA 612 (b) have been considered and the use of dollars for local costs of this project can be approved. Your signature on the attached authorization will provide the basis for certification required under this section.

#### JUSTIFICATION TO THE CONGRESS

A Congressional Notification advising Congress of AID's intention to obligate funds for this project has been forwarded. The 15 day waiting period expired in August.

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CLEARANCE OBTAINED:

All appropriate AID/W and Mission clearances have been obtained.

RECOMMENDATION:

That you approve the project and sign the attached project authorization.

APPROVED / DISAPPROVED

*Priscilla M Boughton*  
PRISCILLA M. BOUGHTON  
MISSION DIRECTPR

Clearance: PD:RWNachtrieb (draft)  
PRO:FJYoung (draft)  
TDY:S&T/IT:ECarter (draft)  
LEG:BMRao (draft)  
CO:LWight(draft).

*John Swain*  
TDY:ASIA/PD: Diana Swain:pm: 9/24/82

PROJECT AUTHORIZATION

Name of Country: INDIA

Name of Project: Development & Management  
Training Project

Number of Project: 386-0487

Pursuant to Sections 103, 104 (b) and 105 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Development and Management Training Project for India involving planned obligations of not to exceed \$ 6.1 million in grant funds over a four year and nine month period from the date of obligation, subject to the availability of funds in accordance with the A.I.D. OYB/ Allotment process to help in financing foreign exchange and local currency costs for the project.

The Project will provide technical and management training opportunities to approximately 1,300 individuals from the public sector and selected private sector entities. The training will be in areas determined priority assistance areas by the USAID Country Development Strategy Statement, and will have as its purpose the strengthening of managerial and technical capabilities of those public and private sector entities with whom USAID works to implement its country assistance strategy.

The Project agreement which may be negotiated and executed by the officers to whom such authority is delegated in accordance with A.I.D. regulations and delegations of authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

A. Source and Origin of Goods and Services

Goods and services financed by A.I.D. under the project, except for Ocean Shipping, shall have their source and origin in the United States or in India, except as A.I.D. may otherwise agree in writing. Ocean Shipping financed by A.I.D. under the project shall be financed only on flag vessels of the United States except as A.I.D. may otherwise agree in writing.

B. Conditions Precedent to Disbursement

Prior to any disbursement or the issuance of any commitment documents under the Project Agreement, the Cooperative Country shall furnish in form and substance satisfactory to A.I.D.:

The names of two representatives and one alternate to serve as GOI representatives to the project joint working group and as authorized representatives of the Grantee for this project, together with specimen signature of each such person.

C. The Cooperating Country Shall Covenant:

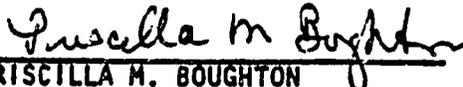
- 1) That it will exercise its best efforts to assure that adequate representation is accorded to women in nomination of participants for all training courses offered.

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- 2) That it will exercise its best efforts to make training opportunities known and available to private sector entities and individuals in areas where private sector activity is significant and directly relevant to the achievement of GOI/AID development objectives.

D. The Following Waiver to A.I.D. Regulations is Approved:

Handbook 10 requirement that the Cooperative Country pay all costs associated with International transportation of participants.

  
PRISCILLA M. BOUGHTON  
DIRECTOR  
USAID/INDIA

Clearance: LEG:BM Rao (draft)  
PD :RWNachtrieb(draft)  
CO :LWight (draft)  
DD :RMBrown *RV*  
S&T/IT (TDY):ECarter (draft)

~~PRO:FJYoung~~:pm: 9/24/82

PROJECT DESCRIPTION FOR GRANT AGREEMENT

The purpose of this project is to strengthen the managerial and technical capabilities of public and, where appropriate, private sector manpower in areas of mutual concern to the Government of India (GOI) and the Agency for International Development. This purpose will be achieved by providing training primarily to mid-level and junior GOI officials and to a limited number of individuals from the private sector. As a result of this project, the capacity of GOI development agencies to plan and implement development activities will be increased.

The majority of individuals trained under this project will be trained in short term courses conducted by Indian educational institutions or by Indian or American consultant teams in India. In-country training will increase the likelihood that course material is relevant to existing conditions in India, and, by decreasing the cost of training on a per trainee basis, increase the number of individuals who can be trained. Consultant training teams will, in many instances, be required to train trainers in skill areas and to develop curriculum

materials for use by trainers so that replication of training courses is possible. In planning training programs, particular attention will be paid to assessing and addressing training needs on an organizational rather than an individual basis.

Training will also be conducted outside of India in the United States and, where appropriate, in third countries. This will enable participants to observe different managerial and technical procedures and will provide participants with valuable contact with peers at the international level. The majority of this training will be short-term; however, a minimal amount of long term training is also planned.

A numerical target of 1300 trained individuals has been set. Approximately 1200 of these individuals will receive training in India with the remaining individuals to be trained in the U.S. or third countries. The project is designed primarily to provide training to public sector personnel because in the development areas where training will be offered the public sector is the predominant provider of goods and services. In areas where the private sector plays a significant role, however, a special effort will be made to recruit private sector participants.

Responsibility for coordinating project implementation will rest with a joint project working group consisting of representatives from the GOI and USAID. USAID and the GOI will be responsible for identifying training needs and planning specific programs; the GOI will select participants.

An overall project training plan will be developed for two thirds of the training which will be undertaken. The remaining one third of the project's resources will be used to respond to training proposals not envisioned in the plan which may come from outside institutions or as a result of GOI-U.S. collaboration in other fora (e.g., Indo-U.S. subcommissions). This will permit flexibility to respond to training requests which are not specifically planned for and to assist in upgrading skills in areas of potential future project collaboration.

Participants shall be selected in accordance with normal procedures now being followed by USAID and the Government of India developed under the Indo-U.S. technical cooperation program. Specific criteria for participant selection for various training programs will be developed by the joint working group.

#### 6. Financial Plan

The total cost of the project is estimated at \$8.2 million of which AID plans to contribute \$6.1 million. Funding by AID will be incremental with \$2.4 million in U.S. FY 1982 and the balance in subsequent years, subject to the availability of funds and mutual agreement of the parties to proceed at that time. The AID contribution will be used to fund all foreign exchange costs and appropriate local currency costs of training outside India, training conducted in India by consultants, approximately one third of training costs for course work undertaken at Indian institutions, and international travel.

GOI contribution estimated at \$2.1 million in rupee equivalent will be used to meet the cost of domestic travel of participants to the point of embarkation to leave India, or to the Indian training site in addition to training-related fees including passports, medical examinations, and salaries/benefits of personnel being trained under this project.

The overall project financial plan showing use and source of funds is summarized below:

ILLUSTRATIVE LIFE-OF-PROJECT FUNDING\*/

U S E	AMOUNT (US \$ 000)					
	A.I.D.		GOI		TOTAL	
	FX	LC	FX	LC	FX	LC
Participant Training	3,350	200		250	3,350	450
Participant Travel	425	-	-	50	425	50
Consultant Team Training	1,800	-	-	-	1,800	-
Participant Salaries & Benefits	-	-	-	1,800	-	1,800
Project Evaluation & Monitoring	25	75	-	-	25	75
Contingency (app. 4%)	225	-	-	-	225	-
<b>T O T A L</b>	<b>5,825</b>	<b>275</b>	<b>-</b>	<b>2,100</b>	<b>5,825</b>	<b>2,375</b>

Individual line items in the foregoing budget may be adjusted as mutually agreed to by the parties.

\*/ Sums beyond those obligated by this project agreement may be provided at a later date subject to the availability of funds to A.I.D. for this purpose, and to the mutual agreement of parties, at the time of each subsequent increase, to proceed.

Annex 10

L.O.No.2(5)AID/82

भाषण संख्या

विन संख्या

आर्थिक कार्य विभाग

Government of India (Bharat Sarkar)

Ministry of Finance (Vitta Mantralaya)

Department of Economic Affairs (Arthik Karya Vibh)

Purshottam Lal,  
Director(AC),  
Tel.No: 373210.



नई दिल्ली/New Delhi 29th September 1982

Dear Mrs. Boughton,

The Government of India hereby request a grant of \$ 2.4 million for strengthening the managerial and technical capability of manpower in areas of mutual concern to the GOI and the Agency for International Development. These funds along with the Grantee's contribution of \$ 0.8 million, will finance the cost of implementing this project in its first year of implementation. The total cost of the project is, however, estimated at \$ 8.2 million over a period of approximately 5 years and it is expected that USAID would make available to GOI a grant of \$ 6.1 million over the said period, inclusive of \$ 2.4 million for which this letter of request is being sent.

We would appreciate your earliest consideration of this request for assistance.

Yours sincerely,

*Purshottam Lal*

(PURSHOTTAM LAL)

Mrs. Priscilla M. Boughton,  
Director,  
USAID, American Embassy,  
West Building,  
Chanakyapuri,  
New Delhi.

Mr. William T. White, Jr.  
Director, OIT/DSB, AID/Washington

August 27, 1980

John N. Gunning  
Chief, Program Office, USAID/New Delhi

Cost of Participant International Travel

(A) AIDTO A-99, 4/18/79 (B) New Delhi 00823

On August 26, 1980, USAID/New Delhi Mission-Director approved full waiver of participant travel costs for Mission-funded activities, per Handbook 10, Chapter 17 B 1(a). Attached is a copy of the memorandum dated August 22, 1980 giving justification based on difficulties and delays encountered in past in arranging COI funding of participant international travel and anticipation that similar problems would be encountered in future.

Attachment: a/s

cc: Dr. David Garms, Officer Incharge (India Desk), ASIA/BI,  
AID/Washington - with a copy of memo dated August 22, 1980

Clearance: PRO - JWestley JW

CO - JWhite JW

PRO/T:TRSabharwal:glv 8.27.1980

UNITED STATES GOVERNMENT

# Memorandum

TO : Mrs. Priscilla M. Boughton - Director

DATE: August 22, 1980

FROM : John N. Gunning - PRO

SUBJECT: Waiver of GOI Financing of Participant International Travel

Handbook 10, Chapter 17 specifies that the cost of international travel by participants shall be paid by the cooperating government unless waivers have been authorized. This memorandum recommends that you authorize a waiver of this requirement for Mission-funded programs.

## Discussion

It has been AID policy for the past two decades to require host country financing of participant international travel as an element of project cost sharing. Handbook 10, Chapter 17 provides for waivers by the Mission Director (for Mission-funded programs) or by the Regional Assistant Administrator together with the Mission Director (for centrally-funded programs).

In the case of India, participant international travel was generally funded by U.S.-owned Section 402 rupees (FY 1959 - FY 1965) or by a Trust Fund established with PL-480 Title I "country use" rupees (FY 1966 - FY 1972). There were attempts by the GOI and USAID in the mid-1960s to require the sponsoring GOI agency to finance participant international travel, but this led to delays and often to cancellation of participant training programs. For further background information, see the attached memorandum of July 23, 1980.

Since several new projects include participant training as a component, USAID should decide now on an appropriate policy regarding funding of international travel. On the one hand, there are no clear advantages to singling out international travel as an element of the GOI's contribution to total project costs. Although sanctioned by AID tradition, this requirement is essentially arbitrary. On the other hand, the history of the program indicates that there are major disadvantages to GOI financing of international travel. Our recent experience with the participants who attended the World Bio-Energy Congress confirmed that the factors which led to delays and cancellations in GOI-funded participant travel in the past are still operative.



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Taking these considerations into account, there appear to be good grounds for waiving the requirement that the GOI finance participant international travel. Participant international travel should be included as an eligible project cost item for AID financing.

Chapter 17B 1(a) of Handbook 10 confers authority on the Mission Director to authorize "full" or "partial" waiver, based on an appropriate justification in respect thereof. A full waiver, in terms of this regulation includes the cost of travel between the participant's home city and the points of departure and return in the participant's home country.

USAID's policy has been and will continue to be to expect the Indian sponsoring agency to bear the cost of travel within India. A "full" waiver will permit USAID to pay full costs in those few cases where we believe this to be justified, e. g. in the case of a PVO.

Recommendation

1. That, you, in terms of the authority vested in you, pursuant to AID Handbook 10, Chapter 17 B 1 (a), waive the requirement that the cooperating government pay for the costs of international travel including incidental costs enroute, as well as the cost of travel between the participant's home city and the points of departure and return in the participant's home country.

2. After this waiver has been approved by you, Mission will, as required in the above provisions of the Handbook, notify SER/IT of this waiver.

Approved/Disapproved

P. M. Boughton  
Priscilla M. Boughton

Date: 8/26/80

Clearance: CO/MGT:LWight (draft)  
CD:PJBloom (draft)  
LEG:BMRao (draft)

Attachment: Bablani/Sabharwal memorandum  
of July 23, 1980

UNITED STATES GOVERNMENT

# Memorandum

TO : PRO - Mr. John N. Gunning

DATE: July 23 1980

FROM : PRO - K. K. Bablani *Bablani*  
PRO/T - T. R. Sabharwal

SUBJECT: AID Policy with respect to Indian Participants' International Travel

REF: Your Memo of July 10, 1980

This memorandum, which should serve as a discussion paper, enumerates history of USAID/GOI policy and procedures regarding Indian participants' international travel, and makes recommendation that future participants international travel cost be funded under the project or program which funds the training cost.

## 1. AID Policy/Handbook Provisions:

a. Section 110 of FAA provides for cost-sharing by the developing countries. Twentyfive percent of the costs of all projects is to be furnished by the LDC. The cost of participant international travel has been considered a part of the LDC contribution for more than two decades (AIDTO Circular A-99 of 4/18/79).

b. Current AID policy concerning participant international travel costs, as contained in Chapter 17, Handbook 10 is as follows:

"The cost of international travel, including incidental costs en route as well as the cost of travel between the participant's home city and the points of departure and return in the participant's home country, is paid by the cooperating government or other sponsor unless:

(a) In the case of Mission-funded programs, Mission Directors have justified and authorized full or partial waivers and have so notified DS/IT; or

(b) In the case of centrally-funded programs, waiver requests by the initiating Office or Bureau have been approved by both the appropriate Geographic Assistant Administrator and the Mission Director.

(1) The airgram announcing the centrally-funded program will include waiver justification and will require Geographic AA (or designee) clearance and an information copy to DS/IT.

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(2) Mission Directors who approve the waiver will reply to the initiating office or Bureau with copies to their Geographic AA and DS/IT."

2. USAID Policy/GOI Practice prior to Program Suspension:

a. Beginning FY 1959 and up to FY 1965, international travel cost of Indian participants programmed for training in the U. S. was paid from U. S. -owned Sec. 402 rupees, pursuant to a letter-agreement with DEA dated April 3, 1959. Since these rupees were treated like dollars, travel was required to be performed on U. S. flag carriers.

b. In August 1964, DEA proposed that the international travel costs of all participants be met out of normal budgetary resources of the Government of India. The basis for GOI's objection to the use of Sec. 402 rupees for payment of international travel on U. S. flag carriers was that the carriers had convertibility rights while the 402 rupees were "non convertible." After a year of extended negotiations and exchanges, USAID agreed (with AID/W concurrence) that the GOI pay international travel cost of all participants who departed after April 1, 1966. However, budgetary resources were often tight and a number of participants were dropped by the sponsoring agencies, thus retarding implementation rate of mutually agreed programs.

c. In July 1966, it was agreed with DEA that USAID not only book air travel of FY 1966 participants with Air India but also make payments initially to Air India for all such bookings, and claim reimbursement from GOI. Accordingly, USAID financed FY 1966 participants' travel from Sec. 402 rupees, with bookings to Air India, and sent a reimbursement claim to DEA in December 1967. However, in November 1968, DEA advised the Mission that reimbursement was not necessary and that it should charge those payments to the GOI Trust Fund which had been established by that time. USAID decided not to transfer the charges and retained the payments in the Sec. 402 account. DEA was so advised.

d. In May 1966, the Trust Fund was established, financed with PL-480 Title I "country-use" rupees granted by AID to the GOI under terms of the Sales Agreements. The GOI Trust Fund administered by USAID provided support to meet local costs of the technical cooperation program, which the Sec. 402 account had met in the past. Although the Trust Account Agreement also provided for payment of participants' international travel, a side-letter to the agreement precluded use of the Trust Fund for the purpose. However, for FY 1967 participants the GOI agreed to use Trust Fund for travel of specific number of

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participants whose GOI sponsors were unable to provide for the travel from their own budget. In all cases where Trust Fund was used, the GOI required that the travel be performed by Air India, since Trust Fund rupees were GOI rupees and were transferred to USAID through annual GOI budgetary allocations. (These payments were reported in the annual accounting of Trust Fund expenditures rendered by USAID to DEA.)

e. For FY 1968 participants, the GOI had hoped that the sponsoring agencies would be able to provide for international travel from their own budgetary resources and that it would not be necessary for them to take recourse to the Trust Fund. However, subsequent discussions with the GOI culminated in an agreement on March 8, 1968 between DEA and USAID which provided that international travel cost of participants programmed in FY 1968 and thereafter shall be met from the GOI Trust Fund administered by USAID. This procedure had continued until the program suspension in December 1971. Since then the GOI has not financed international travel for any participant.

f. After December 1971 and up to June 30, 1980, 18 Indian participants were sent to the U. S. and/or third countries for short-term training or observation/study tours. These participants were approved by the GOI; however, their total training cost including international travel was financed by A. I. D. under centrally-funded projects or programs.

g. In FY 1980, USAID sent two Indian participants nominated by GOI for a four-week bio-energy study tour in the U. S. Total cost including international travel of these participants was funded through a Mission-issued PIO/P under the Technologies for the Rural Poor Project (380-0465). Air ticket was obtained against GTR payable in excess rupees, charged to PIO/P dollars.

3. Recommendation:

In view of the past experience with the sponsoring agencies not able to provide adequate funds for international travel from their normal budget, which resulted in curtailment of agreed programs, we recommend that the Mission Director agree to approve a waiver justifying payment of international travel of participants from project funds. We have a precedent in the case of two participants programmed in FY 1980 under the Technologies for Rural Poor Project.

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Another advantage in funding the travel from project funds is that we will be able to provide the excess baggage (10 kg.) allowance to the participants in accordance with the standard practice per Handbook 10. In the past, when GOI decided to fund the travel from their own budget, DEA did not agree to the excess baggage allowance for Government officials. However, this problem was mitigated automatically when the GOI subsequently agreed to USAID financing the travel from Trust Fund.

Since ARD visualizes participant training program under the Rajasthan Medium Irrigation, Karnataka Medium Irrigation and Agricultural Research Projects, the Mission should take a decision concerning payment of international travel from project funds. The draft grant agreement which may be sent to DEA for their review should explicitly provide for the total training cost including round trip international travel. However, any cost of within India travel to and from the points of departure and return shall be borne by the sponsoring authorities. (FYI: DEA request for the two participants under the Technologies Project, specifically included payment of international travel from the \$2.0 million grant.)

Therefore, we recommend that the Mission Director agree to approve a general waiver of the requirement of GOI paying for international travel of project participants.

cc: ARD  
CD  
CO

PRO:TRS abharwal/KKBablani:s:7. 24. 80

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