

PD-ABD-213

Best available copy -- page 116 missing

PD-ABD-213

IN 73593

UNCLASSIFIED

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
Washington, D. C. 20523

ECUADOR

PROJECT PAPER

ECUADOR DEVELOPMENT SCHOLARSHIP PROGRAM

AID/LAC/P-648

PROJECT NUMBER: 518-0091

UNCLASSIFIED

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT DATA SHEET

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

DOCUMENT CODE 3

2. COUNTRY/ENTITY Ecuador

3. PROJECT NUMBER 518-0091

4. BUREAU/OFFICE LAC 05

5. PROJECT TITLE (maximum 40 characters) Ecuador Development Schol. Prog.

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)
 MM DD YY
 09 30 96

7. ESTIMATED DATE OF OBLIGATION
 (Under "B." below, enter 1, 2, 3, or 4)
 A. Initial FY 91 B. Quarter 4 C. Final FY 95

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

A. FUNDING SOURCE	FIRST FY 91			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	(622,492)	(0)	(622,492)	(6,600,000)	(0)	(6,600,000)
(Loan)	(0)	(0)	(0)	(0)	(0)	(0)
Other						
U.S.						
Host Gov.	0	0	0	0	0	0
(In-kind)	0	0	0	0	0	0
TOTALS	622,492	0	622,492	6,600,000	0	6,600,000

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	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) EHR	600	790		0	0	6,600,000	0	6,600,000	0
(2)									
(3)									
(4)									
TOTALS				0	0	6,600,000	0	6,600,000	0

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

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code	PART	EQTY	BR	BU
B. Amount	4,620	6,600	2,970	1,650

13. PROJECT PURPOSE (maximum 480 characters)

To equip a broad base of leaders and potential leaders in Ecuador with technical skills, training and academic education and an appreciation and understanding of the workings of a free-enterprise economy in a democratic society.

14. SCHEDULED EVALUATIONS

Interim MM YY 07 93 Final MM YY 07 96

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.)

USAID Controller approves the Methods of Implementation and Financing proposed herein.

[Signature]
 Richard Goughnour
 USAID/Ecuador Controller

17. APPROVED BY

Signature *[Signature]*
 Title Charles E. Costello
 Mission Director

Date Signed MM DD YY 05 02 91

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

**ECUADOR DEVELOPMENT SCHOLARSHIP PROGRAM
 CARIBBEAN AND LATIN AMERICAN SCHOLARSHIP PROGRAM II (CLASP II)**
 (598-0661)
 (597-0044)
 (518-0091)

TABLE OF CONTENTS

PROJECT AUTHORIZATION	iii
GLOSSARY OF TERMS	v
I. SUMMARY AND RECOMMENDATIONS	1
II. PROGRAM RATIONALE AND DESCRIPTION	3
A. Background and Rationale	3
1. <u>A.I.D. Participant Training Programs, 1949-1984.</u>	3
2. <u>Reports and Evaluations Leading to CLASP.</u>	4
3. <u>CLASP I Project History and Description.</u>	5
4. <u>Rationale for CLASP II.</u>	9
B. Program Objectives	10
C. Program Description	11
1. <u>Participant Recruitment and Selection.</u>	11
2. <u>Training Objectives.</u>	13
3. <u>Detailed Training Requests.</u>	15
4. <u>Pre-program Orientation.</u>	17
5. <u>Experience America.</u>	17
6. <u>In-country Follow-on Programs</u>	20
7. <u>Cost Containment.</u>	21
8. <u>Summary of Program Requirements.</u>	22
III. COUNTRY PROJECT DESCRIPTION	22
A. Mission Background and Rationale	22
B. Mission Objectives and Strategy	26
C. Project Activities	30
1. <u>Short term Technical Training.</u>	38
2. <u>Long term Technical Training.</u>	42
3. <u>Academic Education.</u>	43
IV. FINANCIAL PLAN AND ANALYSIS	47
A. Project Budget Summary	48
B. Financial Issues	50
C. Methods of Implementation and Financing	51
V. IMPLEMENTATION AND EVALUATION PLAN	51
A. Administrative Arrangements	51

B.	Monitoring and Evaluation Plan	55
1.	<u>Program Monitoring and Evaluation</u>	55
2.	<u>Mission Monitoring and Evaluation.</u>	61
C.	Contracting Plan	61
D.	Audit	61
E.	Implementation Schedule	62
VI.	SUMMARY OF PROJECT ANALYSES	63
A.	Social/Institutional Analysis	63
B.	Administrative	67
C.	Economic	67
D.	Technical	69
VII.	ANNEXES	72
A.	Logical Framework	72
B.	Statutory Checklist	76
C.	SIF Matrix: Leadership in Ecuador by Sector	90
D.	Environmental Determination	101
E.	CLASP I Implementation Experience	102
F.	PID DAEC Guidance Memo	107
G.	Model Training Requests (PIO/P)	110
H.	Training Cost Analysis (TCA) Instructions and Sample Forms	119
I.	Country Checklist	181

PROJECT AUTHORIZATION

Name of Country: Ecuador
Name of Project: Ecuador Development Scholarship Program
Number of Project: 518-0091

1. Pursuant to Section 105 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Ecuador Development Scholarship Program (518-0091) for Ecuador, involving planned obligations of not to exceed six million six hundred thousand United States dollars (\$6,600,000) in grant funds over five years from the date of authorization, subject to the availability of funds in accordance with the AID OYB/allotment process, to help in financing foreign exchange costs for the project. The planned life of the project is six years from the date of initial obligation.
2. The project will help improve the technical and leadership skills of a broad base of Ecuadorian leaders and potential leaders through training and academic education as well as help them to appreciate and understand the workings of a free enterprise economy in a democratic society. The project consists of short term technical training, long term technical training, and academic training, and many of the participants will be from disadvantaged groups. Illustrative training areas include, but will not be limited to, (1) agriculture/natural resources; (2) health/family planning; (3) urban growth management; (4) export, trade and investment; and (5) government and democratic initiatives. Other areas and sectors may be included for training under this project as AID may agree to in writing.
3. The project obligating document, which may be negotiated and executed by the officers to whom such authority is delegated in accordance with AID 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 AID may deem appropriate:

a. Source and Origin of Commodities, Nationality of Services

Commodities financed under this project will have their source and origin in the United States, except as AID may otherwise agree in writing. The suppliers of services, including ocean shipping services, shall have the United States as their place of nationality, except as AID may otherwise agree in writing.



Charles E. Costello
Mission Director
USAID/Ecuador

5-2-91

Date

Clearances:
GDO: DSinger (in draft)
PPD: MDeal MD
RCO: JDunlap JD
RLA: ANewton (in draft) AN
O/CONT: RGoughnour RG
D/DIR: HRKramer HR

Drafted by: GDO:JStimson (02-15-91)

GLOSSARY OF TERMS

ADC	Advanced Developing Countries
AID/W	Agency for International Development, Washington
APSP	Andean Peace Scholarship Program
CA	Central America Regional Programs
CAI	Central America Initiative
CAPS	Central America Peace Scholarship Program
CASP	Central America Scholarship Program (Georgetown)
CASS	Cooperative Association of States for Scholars
CBSF	Caribbean Basin Scholarship Program
CDIE	Center for Development Information and Evaluation (PPC)
CLASP	Caribbean and Latin American Scholarship Program
CSLA	Consortium in Service to Latin America
CTP	Country Training Plan
DA	Development Assistance account
EA	Experience America
EDSP	Ecuador Development Scholarship Program
EOPS	End of Project Status
ESF	Economic Support Fund account
FSN	Foreign Service National
GAO	U.S. Government Accounting Office
GOE	Government of Ecuador
HBCU	Historically Black Colleges and Universities
IG	A.I.D. Inspector General
ISEP	International Student Exchange Program (Georgetown University)
IVP	International Visitor Program (USIA)
LAC	Latin America and Caribbean Bureau
LAC/DR	Latin America Bureau Development Resources
LAC/DR/EHR	Education and Human Resources in LAC/DR
LAC II	LAC Regional Training Initiatives Project
LCA	Leadership Conference of the Americas
LOP	Life of Project
NBCCA	National Bipartisan Commission on Central America
OIT	Office of International Training, AID
OYB	Operating Year Budget
PACD	Project Activities Completion Date
PIO/P	Project Implementation Order/Participant Training
PPC	Program and Policy Coordination, AID
PTIIC	Presidential Training Initiative for the Islands Caribbean
RDO/C	Regional Development Office for the Caribbean
RTAC II	Regional Technical Aid Center II Project

S&T/IT

Office of International Training, Bureau of
Science and Technology

SIF

Social-Institutional Framework Analysis

USIA

U.S. Information Agency

I. SUMMARY AND RECOMMENDATIONS

The Ecuador Development Scholarship Program (EDSP) is part of the Caribbean and Latin American Scholarship Program II (CLASP II), a regional project described in Section II of the Project Paper. CLASP II is an innovative training program which is designed to have a long term impact on two factors which are critical to lasting improvement in the economic and social conditions of the region: (1) a stable social, political, and economic environment in the region conducive to economic development; and (2) an educated and skilled population with capable leaders to manage and implement programs and policies. CLASP II follows CLASP I, which includes the Andean Peace Scholarship Program (APSP). Through the end of Fiscal Year 1990, USAID/Ecuador has sent 255 Ecuadorians to the United States for APSP training--most of them from disadvantaged groups--and will send an additional 155 before the program ends.

The CLASP II regional program has three significant differences from its predecessors. First, CLASP I was a centrally directed and regionally funded program, while CLASP II will be funded by the Mission. With this, each participating Mission must approve a Project Paper, observe all guidance affecting Mission projects, and contract for its own implementing mechanisms. Second, CLASP II requires that scholarship requirements be identified by a Social/institutional Framework analysis (or SIF), a country-specific study which determines what kinds of leaders, drawn from which economic and social development fields, can benefit most from CLASP II training opportunities. Finally, while the leadership criterion for selection was already established in CLASP I, it is the intention of CLASP II to emphasize this even more highly in terms of assessing the ultimate impact of the program on the Trainee's communities and in their ensuing careers.

The Ecuador Development Scholarship Program follows the guidelines provided by CLASP II. Its purpose is to equip a broad base of Ecuadorian leaders with technical skills as well as with an appreciation of the distinctively American values supporting a free enterprise economy in a democratic society. At least 70% of EDSP Trainees will be from disadvantaged groups, 40% will be women, and at least 20% will be sent for long term training. A SIF was prepared and approved by the Mission in December, 1990, which established the priority groups which will receive EDSP scholarships. The five illustrative priority areas identified by the SIF were: (1) agriculture/natural resources; (2) health/family planning; (3) urban growth management; (4) export, trade and investment; and (5) government and democratic initiatives.

EDSP training will take two forms: short term technical training (STT) lasting an average of six weeks, and long term training (LTT) having a duration of twelve months to two years. Long term training will largely take the form of academic training for a degree, in most cases the M.A. or M.S., although one training group is scheduled to receive one year of long term technical training. Short term training of Development Scholars will be planned for groups ranging between fourteen and twenty, while long term training will generally be programmed for groups of twelve. All training, except for preliminary language training, will take place in the United States. "Experience

America"--the opportunity to experience firsthand various aspects of an open, democratic society and a free market system--will be an integral part of each training program.

Upon their return to Ecuador, EDSP participants will be expected to utilize their newly acquired skills to improve the economic and social conditions of their low-income communities and societies. The fact that they are leaders will assist them in realizing this goal. The Mission will support these endeavors with an expanded Follow-on program. Returned Trainees will be encouraged to develop activities oriented to improving the conditions of disadvantaged Ecuadorians.

B. Recommendations

It is recommended that USAID/Ecuador authorize a grant of US\$6.6 million to finance the dollar cost of the Ecuador Development Scholarship Project. It is proposed that the Project be authorized in September 1991 with a six year duration, with a PACD date of September 1997. This will permit 245 Ecuadorians, most of them from disadvantaged circumstances, to receive technical training in the U.S.: 196 will participate in short term training while 49 more will receive long term training.

C. Project Development Team

1. The Project Development Team was composed of:

Derek Singer, GDO
Ellen Leddy, GDO
Jennifer Stimson, GDO
Patricio Maldonado, PPD
Roger Rasnake, Consultant, Aguirre International

2. The Project was reviewed by:

Charles Costello, DIR
H. Robert Kramer, D/DIR
Derek Singer, GDO
Ellen Leddy, GDO
Jennifer Stimson, GDO
Michael Deal, PPD
Paula Goddard, PPD
Patricio Maldonado, PPD
James Dunlap, RCO
Lewis Conner, A/CONT
Mauricio Anderson, CONT
Alex Newton, RLA

3. The Project was approved by:

Charles Costello, DIR

II. PROGRAM RATIONALE AND DESCRIPTION

A. Background and Rationale

1. A.I.D. Participant Training Programs, 1949-1984.

History. Participant training has been an integral part of the foreign assistance program since the Marshall Plan in 1949. More than 250,000 foreign nationals have received U.S. government scholarships for training in the U.S. or third countries, over 30% of whom have been from Latin America and the Caribbean. Between 1958 and 1984, 38,387 people from the LAC region were trained in the U.S. by A.I.D. or its predecessor agencies in virtually every important development field. Although no formal tracking of the participants has been conducted, informal surveys have found that many leaders and influential people in LAC countries have received USG scholarships.

Funding levels for the A.I.D. participant training program, and consequently the number of people trained annually, has fluctuated significantly over the past four decades. The largest program was in the immediate postwar years (1944-1957), when over 8,700 scholarships were awarded each year. Since then, training levels fluctuated between a low of 3,440 participants a year in the early 1960s to a high of almost 6,200 in the early 1970s. By the early 1980s, approximately 5,400 participants were being trained each year.

In the late 1970s and early 1980s, the LAC Bureau initiated a series of regional training projects to increase the number of participants from the LAC region. Although the impact on the total numbers trained was modest, these projects incorporated new approaches which would be expanded under the CLASP program. The "Training for Development" project (598-0580) was authorized in FY 1979 to provide training for 647 participants, with an emphasis on people from lower economic status groups. The LAC Training Initiatives I (598-0622) was authorized in FY 1982 to train 670 individuals. In FY 1983, the Caribbean Basin Scholarship Fund (CBSF) (598-0626) sponsored 500 participants from the private and public sectors, again focusing on people from socially and economically disadvantaged groups.

Evaluations and Lessons Learned. Despite the substantial scale of the participant training program over the years, A.I.D. has had limited success in evaluating the impact of the program on development. In 1984, PPC/CDIE sponsored a study to review A.I.D. evaluations of participant training projects conducted over a 30 year period ("Review of Participant Training Evaluation Studies," Tom Moser and Laurel Elmer, PPC/CDIE 1984). The study found that A.I.D. has conducted relatively few evaluations of participant training programs, virtually all of which focused on operational issues rather than the eventual use of the training. The only systematic, worldwide evaluation of the utilization and effectiveness of participant training, conducted in the early 1960s, recommended the following (in order of importance):

- (1) more follow-up activities with returned participants are needed;

- (2) participants should have more involvement in predeparture program planning;
- (3) longer term training ensures better utilization than does short-term training;
- (4) supervisors should be involved in selecting participants and planning the program;
- (5) plans for using the training should be formulated during the planning stage; and,
- (6) participants should be better informed and satisfied with their training programs before departure.

In 1967, A.I.D. initiated an ambitious evaluation that was to include three phases of systematic interviews with participants--predeparture interviews, exit interviews in the U.S., and follow-up interviews in country. Although over 10,000 exit interviews were conducted, neither of the other two phases was implemented. In 1974, the American Institutes for Research was contracted to develop criteria and methodologies for an impact assessment, but A.I.D. never accepted or used the methodology.

The other notable finding of the Moser and Elmer study was the frequency with which the same recommendations were repeated over the years, often in the same country or region. All of the recommendations from the 1960s study cited above were among the eleven most frequent recommendations in other evaluations over the next 25 years, indicating a continuing inability to incorporate such findings in new projects.

2. Reports and Evaluations Leading to CLASP.

The conceptual origins of the CLASP program are found in three key studies: the Report of the National Bipartisan Commission on Central America (NBCCA); a GAO audit, "U.S. and Soviet Bloc Training of Latin American and Caribbean Students: Considerations in Developing Future U.S. Programs;" and an audit conducted by the A.I.D. Inspector General (IG) office, "A.I.D.'s Participant Training Program Can Be Made More Effective," (Audit Report No. 85-08).

The NBCCA, chaired by Dr. Henry Kissinger, was appointed by President Reagan to propose solutions to the political and economic crisis in Central America. The Commission's 1984 report outlined a broad program of support for the region and highlighted the need to deal with the social and economic underpinnings of the political problems. A primary conclusion was that the human resource base must be strengthened to provide an adequate foundation for viable democratic societies and social and economic development. The Commission recommended that 10,000 Central American students be given scholarships for training at U.S. academic and vocational/technical training institutions. It further recommended that (1) the program encourage participation of young people from all social and economic classes; (2) students receive adequate predeparture preparation in English and remedial academic

training; (3) graduates be encouraged to return to their home countries; (4) Central American countries bear some of the cost; and (5) that some of the scholarships be made available to mid-career public servants and university faculty exchanges.

The GAO audit, released soon after the NBCCA report, documented the scale of Soviet Bloc training programs worldwide and the sharp increase in scholarships for Caribbean Basin countries between 1977 and 1982. In 1982, the Soviet Bloc countries sponsored 83,500 participants worldwide while the U.S. sponsored only 12,500 individuals. The GAO noted, however, that government-sponsored students comprised only a fraction of the estimated 240,000 foreigners studying at U.S. universities in the 1981/1982 school year; the remainder were supported by family resources or nongovernment sponsors. The audit also found that individuals receiving Soviet Bloc scholarships were usually from less affluent families than those sponsored by the U.S.

In December of 1984, the AID/IG concluded an audit to identify major recurring problems in participant training projects. The audit found that many participants did not have adequate English language or academic qualifications to complete the training, that Missions did not adequately follow-up on returned participants to assure utilization of their new skills, and that AID lacked the comprehensive and up-to-date information needed to manage the programs and control costs. The IG also noted that despite spending billions of dollars on participant training over three decades, AID had no information or means of evaluating the impact and effectiveness of the training.

3. CLASP I Project History and Description.

History. The Caribbean and Latin American Scholarship Program (CLASP) was initiated in 1985 as a response to the NBCCA report and incorporated many of the findings of the audits, reports, and evaluations discussed above. The CLASP program was authorized under two separate regional projects, the Central American Peace Scholarships Program (CAPS) (597-0001) and the Latin American and Caribbean Training Project II (LAC II) (598-0640), which included participant training in the Caribbean and Andean regions and in selected advanced developing countries (ADCs). The LAC II authorization was subsequently amended to include two subregional training projects--the Presidential Training Initiatives for the Islands Caribbean (PTIIC) and the Andean Peace Scholarships Program (APSP).

The CAPS project was authorized in 1985 to provide U.S.-based training for 7,000 Central Americans and subsequently amended to increase the training targets to 8,500. PTIIC, initiated in late FY 1986, provides U.S.-based training for approximately 1,525 people from the Dominican Republic, Jamaica, Haiti, and the Eastern Caribbean Islands. APSP was initiated in 1987 to provide similar training for 1,750 people from Colombia, Peru, Ecuador, and Bolivia. Participant training in four ADCs--Brazil, Mexico, Paraguay, and Colombia--was included in the LAC II authorization in 1985. In 1986, AID moved the funding for CAPS, PTIIC, and APSP from LAC and CA regional accounts to Mission bilateral accounts, thus creating bilateral programs under a regional authorization.

CLASP was originally authorized at \$161 million and through a series of amendments gradually increased to \$277 million. The final CAPS obligations under CLASP I were made in 1989 and the final APSP obligations were scheduled for 1990. The PACD's are in 1993 and 1994 respectively to allow adequate time for the long term participants to complete their studies and return home.

Three Congressional earmarks have been funded under the CLASP umbrella: the Central American Scholarship Program (CASP) which began in 1985; the Cooperative Association of States for Scholars (CASS) which began in 1988; and the Leadership Center of the Americas (presently called the Leadership Center, Inc., or LCI), which also began in 1988. The International Student Exchange Program (ISEP) in Georgetown University administers the \$24 million CASP project to train Central Americans in U.S. community colleges. Georgetown also administers the \$2 million CASS project to train 116 Central America and Caribbean youth through a pilot cost-sharing program. CASS is intended to develop the capability of participating U.S. institutions to provide suitable, cost-effective education and training programs for disadvantaged youth. The LCI program, administered by the Consortium for Services to Latin America (CSLA), consists of mid-winter seminars and summer internships in transnational corporations for 200 undergraduate students to establish a Pan American network of potential future leaders.

Unique Elements of CLASP. The CLASP program was different from most traditional training programs both in concept and implementation. CLASP combined economic development and strategic objectives and made a significant effort to incorporate recommendations from previous evaluations. The parallel objectives of the program were to counter Soviet bloc training in the region and to increase the number of U.S. trained individuals in planning, implementation, technical, management, and administrative levels. The strategic objective is met by careful recruitment and selection of participants from socially or economically disadvantaged groups. CLASP program guidelines require that at least 70% of all participants be disadvantaged and at least 40% be women. Subgroups within the overall target group, such as youth, rural people, community leaders, and the private sector, have no numerical targets. To meet these target group requirements, Missions established recruitment procedures based on peer review and selection criteria that included economic means testing. This primary emphasis on selection of participants rather than field of training marks a significant departure from traditional participant training programs.

CLASP guidelines also required that at least 20% of all participants be sent for long term training and that Missions strive toward achieving a 30% long term target. Gray Amendment concerns are addressed by a program requirement to place at least 10% of the participants in historically black colleges and universities (HBCUs). CLASP implementation concerns included substantial predeparture preparation and orientation, non-academic enrichment programs in the U.S. ("Experience America"), post-training follow-on programs in the home country, and systematic cost analysis and cost containment efforts.

The CLASP program has unusual administrative features stemming in part from the combination of regional and bilateral projects under a regional authorization and

project design. LAC/DR/EST established several project support mechanisms to assist Missions and contractors in understanding and implementing this new approach to participant training. These mechanisms include a process evaluation, monthly contractor meetings in Washington to discuss implementation problems, and annual CLASP subregional conferences in the field. USAID field Missions were required to develop a Country Training Plan (CTP) with mission-specific objectives to provide a focus for the country program. While all CTPs conform to the overall CLASP goals, each Mission was able to determine the most appropriate target groups and types of training for the host country.

Experience to Date. By September 30, 1990, 15,426 CLASP participants had initiated training in the U.S. in all categories of the program. Approximately 34% of the participants had been enrolled in long-term training (25% in long-term academic training and 9% in long term technical training); 43% had been female; and 87% have been classified as socially or economically disadvantaged. This number has already surpassed the original CLASP program goal.

Missions have developed specialized training programs for many nontraditional participants, including journalists, rural youth, rural mayors, and members of women's cooperatives. The Ecuador Mission, for example, had considerable success with training a group of young political leaders. Missions have also developed a variety of innovative "Experience America" programs, including regular meetings with local government officials, community volunteer work, living on a farm, home stays and family sponsorships, and participation in team sports. While the development of Follow-on programs lagged behind other components, Missions have initiated interesting activities, including follow-up workshops, alumni associations, job banks, and small community project funds. Missions have also experimented with a variety of cost containment strategies, including group placement, negotiated tuition and fees, use of free public education, use of resident tuition rates with state university systems, cost sharing, long term training in Spanish, and selective placement in low cost schools. The use of an improved training cost analysis (TCA) system has significantly increased Mission awareness of and ability to control training costs.

As this brief summary indicates, the CLASP program has made a significant start in improving participant training and incorporating broader social objectives. The program has benefitted considerably from the diversity and creativity of Mission programs. Significant improvements in program management have been achieved through the use of training cost analysis and information systems and Missions have demonstrated that savings can be achieved through systematic efforts at cost containment.

Lessons Learned. These achievements notwithstanding, there are several operational areas in which Missions continue to experience difficulties. Most of the problems stemmed from the need to introduce and implement a number of new concepts simultaneously, including the focus on disadvantaged groups, "Experience America", Follow-on, cost containment, and training cost analysis. The initial 1985 project design, which was concerned with training non-traditional target groups, has been refined by PP amendments and Bureau guidance as experience was gained.

Numerical and target group quotas were introduced during project implementation. Some new components, such as "Experience America" and Follow-on programs, were not clearly defined or budgeted and have required continuing supplementary guidance. As a result, some Missions have had difficulties in implementing these components and meeting the numerical training targets without sacrificing program quality.

The combination of relatively general objective statements and a number of highly specific implementation requirements has sometimes encouraged Missions to develop programs to meet the guidelines rather than to meet the needs of the country and participants. The problem of adhering to the structure without a clear sense of purpose is often manifested in weak or non-specific training plans, confusion about what should be included in the "Experience America" and Follow-on components, and inadequate lead time to prepare high quality programs for scholars.

There are many people involved in the project from participant selection through follow-on. Some people are continuously and directly involved while others, such as Mission staff, change with some frequency. The people at U.S. training institutions are often removed from both the country of origin and the conceptual underpinnings of the project. CLASP is sufficiently different from traditional training programs that special orientation and training is required for Mission staff and contractors if the objectives are to be achieved.

The implications of these lessons for the CLASP II design are fairly clear. The program should rely on clear and concise objectives rather than numerical targets to guide Mission implementation. The "Experience America" and Follow-on components must be explicitly planned, programmed, budgeted and fully integrated into individual and group training plans. In addition, regional oversight and training is needed to assure continuity and adherence to the program concept. The LAC bureau will continue to refine the description of what is expected from academic and technical training, "Experience America", and Follow-on, and will inform all Missions and training institutions of any changes.

While the process evaluation has proven to be useful for AID/W, Missions, and contractors, the summative evaluation was neither adequately funded nor planned and was in any case subject to evolving project objectives. The CLASP II project establishes an approved methodology and criteria for a summative evaluation based on a well articulated purpose and EOPS indicators, provides a realistic budget commensurate with the scope of the project, and integrates appropriate data collection into project implementation and monitoring.

In addition to these general lessons learned, AID/W and the Missions have gained many insights into the details of program implementation, including recruitment and selection, pre-departure preparation, development of appropriate training requests, "Experience America", and Follow-on activities. These insights will be discussed in the CLASP II project paper in the appropriate section.

4. Rationale for CLASP II.

The basic structure and intent of the CLASP program will remain unchanged in the transition to CLASP II. The primary changes involve clarification of objectives and implementation guidelines, an increased emphasis on selecting and training current and potential leaders, and increased Mission responsibility for country needs analysis and program implementation.

The CLASP II program is designed to have a long term impact on two factors which are critical to lasting improvement in the economic and social conditions in the region--(1) a stable social, political, and economic environment that is conducive to economic development; and (2) an educated and skilled population with capable leaders to manage and implement programs and policies.

The root causes of many problems in Latin American and Caribbean countries can be traced to historical development patterns and the prevailing social, political, and economic policies and institutions. Economic and political systems can either facilitate participation of the poor majority in economic progress or can limit broad-based social and economic growth, thus sowing the seeds for future upheaval. Many LDCs fail to develop leaders with a clear understanding of the relationship between a pluralistic society, free enterprise, opportunities for all citizens, and economic growth. The resulting limited access to opportunity for the poor majority is an important factor in the social and political instability of the region.

The importance of human resources to any country, whether industrialized or developing, cannot be overstated; everything from the broad directions of public policy to the management of individual firms and productivity of individual laborers rests on the skills, knowledge, and values of people. A nation's development potential is directly dependent upon the ability of its leaders to create an economic and political environment that encourages individual initiative and the ability of the people to understand and act upon the opportunities.

One of the most effective means of countering destabilizing influences in Latin America and the Caribbean is to promote broad-based economic and social development. The foundation for such stability and growth, and the driving rationale behind the U.S. foreign assistance program, are national systems of free enterprise and democratic pluralism. Creation of adequate policy environments for development has been an explicit objective of A.I.D.'s program for the past eight years. The CLASP II program supplements the policy dialogue and supports this fundamental foreign policy objective by training leaders in LAC countries who are committed to developing and strengthening such systems.

U.S.-based participant training is a particularly appropriate and effective vehicle for strengthening societal commitment to and understanding of free enterprise and democratic pluralism. Participant training in the U.S. can expose foreign leaders to the values and mechanisms of democratic pluralism, volunteerism, equal opportunity, the free enterprise system, a free press, and respect for human rights. Furthermore, U.S. institutions can provide highly specialized training and practical experience that often

cannot be obtained in-country. In addition to the quality of the training, a U.S. education can provide a significant career boost for talented young people, moving them into leadership positions from which they can work for change. Finally, the contacts and relationships established can strengthen cultural, commercial, political, personal, and institutional linkages between the U.S. and its closest neighbors. This combination of exposure to democratic values and institutions and their practical application in economic development, technical skills transfer, and establishment of human and institutional linkages can be a potent force for social and economic change.

The CLASP II project takes full advantage of the potential of U.S.-based training to develop technical skills, expose participants to values and practices, and establish lasting relationships. The experience to date in implementing this innovative program has provided many insights about planning participant training programs to realize this potential and provide trainees with values as well as a technical education. These lessons learned have been incorporated into the CLASP II program design.

The primary refinement in CLASP program design is that the leadership criterion has been elevated from one of several factors to the primary consideration for participant recruitment and selection. This change is designed to maximize the impact of high cost U.S.-based participant training by concentrating on individuals with the greatest potential for influencing the direction of their communities and societies. The project will provide leaders and potential leaders with training to significantly enhance their technical skills, leadership capabilities, career potential, and appreciation for the value of democratic institutions and free enterprise economies. This change requires a greater emphasis on participant selection and program quality and relevance than on the number of participants.

A basic premise of CLASP which will not change is that opportunities must be provided to those people in LAC countries who have traditionally lacked access to economic and social advancement. The objective of strengthening democratic processes can only be achieved by encouraging economic and political participation of such groups. Another program element which will remain unchanged is that AID/W will continue to play an active role in monitoring program activities and assuring compliance with program objectives.

B. Program Objectives

PROGRAM GOAL: To promote broad-based economic and social development in the LAC countries. Within this general long term goal, the program has a specific sub-goal to encourage and strengthen free enterprise economies and democratic pluralism in the Latin American and Caribbean region. The goal level objectives are long term in nature. However, they provide the driving rationale for project design, participant selection, and nature of training under the CLASP II program.

PROGRAM PURPOSE: To equip a broad base of leaders and potential leaders in LAC countries with technical skills, training, and academic education and an appreciation and understanding of the workings of a free enterprise economy in a democratic society.

By the end of the program, the returned participants are expected to be employed in their respective fields of expertise, applying the skills learned in the U.S., and to have benefitted from the program in terms of either finding an appropriate job or having increased responsibility or salary in an existing one. Furthermore, it is expected that returned participants will be active and influential in community or professional affairs and that they will maintain some relationship with the U.S. Finally, participants are expected to develop an understanding of some aspects of U.S. life, values, and institutions relevant to their own occupation or situation.

C. Program Description

CLASP II is a regional program consisting of 13 Mission projects and an AID/W regional project. The participating Missions are Belize, Bolivia, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Haiti, Honduras, Jamaica, Peru, and the Regional Development Office for the Caribbean (RDO/C). The AID/W regional project consists of training activities established by Congress, program support, and program monitoring and evaluation services. The country projects encompass short- and long term participant training of host country nationals in U.S. educational and training institutions.

In order to establish a consistent regional framework of objectives and policies within which the USAID/Ecuador and other Missions can adapt the project to country conditions, the project design responsibilities have been shared between AID/W and the field Missions. AID/W is responsible for establishing and ensuring adherence to program objectives and policies. USAID Missions are responsible for developing and implementing projects that are responsive to the needs of the host countries and consistent with program objectives and policies.

This section of the Project Paper establishes the program policies and procedures that are common to all Mission projects and which have been approved by the AA/LAC. The program goal and purpose stated above apply to Ecuador as they do to all CLASP II projects in AID/W and field Missions. In addition, the Ecuador program, as does every CLASP II project, includes the following program elements: participant recruitment and selection; pre-departure orientation; technical and academic training programs; "Experience America" activities; Follow-on activities; and evaluation. EDSP will conform to the following implementation guidelines.

1. Participant Recruitment and Selection.

The CLASP II program has as its primary objective the training of current and potential leaders from fields judged as critical to the successful social and economic development of each country. Therefore, the recruitment and selection of appropriate

individuals for training is of the highest priority. On the program level, leaders are broadly defined as those people who can influence the thoughts and actions of others through their skills, activities, or position. Such individuals can and should be found in all segments of society and in institutions which can influence economic development and the growth of democratic institutions in accordance with the program objectives. They may be found in community or popular groups, professions, ethnic groups, private sector businesses, scientific and intellectual circles, voluntary organizations, public sector and educational institutions, and cooperatives. Leaders may have direct influence through their actions as community organizers or indirect influence through teaching or journalism. In some cases, the focus may be on individuals who are already leaders. In others, potential leaders may be sought or developed in institutions whose effective functioning will contribute to economic development and stabilization of democratic institutions in the country. Given the diversity and complexity of leadership development, the Ecuador Mission has substantial latitude to define and identify leaders and potential leaders within the social and economic context of Ecuadorian realities.

Consistent with the intent of the program to provide opportunities for and develop leadership capability in less advantaged members of society, a minimum of 70% of the CLASP II participants will be from socially or economically disadvantaged groups. In furtherance of the Agency's commitment to equal opportunity for women, at least 40% of the participants must be female. In no case will long term academic training be provided to individuals from economically or politically "elite" families who could reasonably be expected to attend U.S. schools using private resources.

The social and economic structures of the LAC countries are highly diverse, therefore no single definition of "disadvantaged" is appropriate for all Missions. Under the CLASP I program (CAPS, PTIIC, and APSP projects), USAID/Ecuador has established working definitions and financial means criteria for selection of disadvantaged participants. The Mission will continue to use these existing definitions or may choose to refine them, if needed, based on experience or the results of the social-institutional study conducted for this project paper. It should be noted that the intent of the program is not to provide U.S.-based training opportunities exclusively to the "poorest of the poor", but rather to provide such opportunities to leaders in social and economic groups who would otherwise not have access to such training. Furthermore, socially disadvantaged groups need not also be economically disadvantaged.

It must be emphasized that the financially and politically privileged will not be sponsored for CLASP II training by USAID/Ecuador. The definition of "privileged" and "elites" varies among countries in its specifics, and the specific definition for Ecuador is developed below. However, some basic concepts apply to all Missions. The "politically elite" include the immediate family of all high level elected or appointed government officials and their immediate families with whom A.I.D. or the USG has such mutual interests that the appearance of conflict of interest would be likely. In most countries, this would include ministers of state and their subsecretaries or vice ministers, governors of central banks, heads of political parties, and other sensitive, highly placed individuals. Other USG resources, including the USIS International

Visitors Program (IVP) program, are more appropriate mechanisms for sponsoring these individuals. It is emphasized that this criteria will not exclude elected officials at the municipal, province, state, or national levels from rural communities, disadvantaged urban areas, and/or those who are personally eligible under the financial means tests. In financial terms, the privileged consist of individuals who could reasonably be expected to finance a U.S. college education using personal or family resources. Individuals from financially privileged families are not eligible for long term U.S. training.

Given the nature of the target group, the procedures utilized in the Ecuador Mission to recruit and select participants are crucial in meeting program objectives. While the Mission will establish its own administrative mechanism for recruitment and selection, an important element will be the active participation of local communities, institutions, and supervisors in selecting participants, establishing training objectives, and planning training programs.

2. Training Objectives.

The second major element, technical or academic training, is fully as important as participant selection to the success of the program. Technical training can include on-the-job training, technical courses at community colleges or universities, short term technology transfer, or a combination of these. Academic training includes any program at a college or university which will result in a degree. Observational tours, seminars, or conferences may be included as a component in either technical or academic programs.

All CLASP II participants from Ecuador will attend technical or academic training programs in the U.S. lasting no less than 28 calendar days. At least 20% of the participants from the Mission will attend long term training programs of nine months or more. The Ecuador Mission will join other AID Missions in establishing placement procedures to comply with existing legislation and Agency policy to place at least 10% of all U.S.-trained participants in historically black colleges and universities (HBCUs).

The training to be provided will be appropriate to the needs of the participant and make a substantive contribution to the participant's career and leadership ability. The appropriateness of training must be considered within the context of the individual's occupation and leadership role. In some occupations, academic training may not be appropriate, while in others a degree may be a sine qua non of leadership. The high cost of U.S. training is justifiable only if the Mission assures that all training meets these criteria of appropriateness and substantive contribution.

In order to meet the requirements of being appropriate and substantive, training programs must be customized to meet individual or group needs. The Ecuador Mission will assure that every training program meets all of the following training objectives for each individual or group:

- (1) Career advancement or enhancement of leadership role;

- (2) Enhancement of leadership and professional and technical skills that will contribute to economic development;
- (3) Substantial exposure to the workings of free enterprise economies and democratic pluralism as they relate to the participant's own occupation as well as to national systems; and
- (4) Opportunities to build lasting personal and professional relationships with American citizens and institutions.

The contribution to career and leadership status may be the result of specific skills transferred, credentials obtained through the program, or the prestige associated with the program. In a long term academic program, for example, the contribution may result both from the credentials obtained and the skills and knowledge transferred. A recurring problem in CLASP I has been the lack of accreditation of U.S. academic degrees in some countries. USAID/Ecuador will make every effort to facilitate transfer of academic credits and recognition of degrees and to assure that all participants are fully aware of the problems, required procedures, and potential lack of accreditation. In the absence of recognized credentials, the need to assure that the training provides participants with appropriate and immediately applicable and employable skills is of even greater importance. If required by future accreditation problems, the Mission will review and justify all academic training to assure that the skills transferred are valuable in and of themselves and that the Follow-on program is specifically oriented to assisting these participants in transferring credits or finding appropriate employment in the field of training.

Short term programs will be carefully planned to assure that the skills are relevant and appropriate to the participant's situation. Case studies have shown that immediate results and application of knowledge are more likely with short term participants because they, unlike long term participants, are returning to an established position in the community. This also implies that the community judgement on the value of U.S. training will be relatively immediate. Therefore, it is particularly important that short term training programs transfer specific technical skills to the participants that are immediately applicable in the local community setting. This will be an important factor in enhancing the participant's leadership status in the community. In some cases, it may be possible to enhance leadership status through prestige as well as specific skills -- for example, a local teacher or principal who represents the country in an important international conference to discuss educational improvement may find his or her status in the community heightened just by participating in the program.

The enhancement of leadership qualities and skills can be combined with either or both of the technical skills transfer and "Experience America" activities. This objective will be achieved through activities which are appropriate to leadership development in the participant's occupation. These activities have included, in other programs, workshops in parliamentary procedures, conflict resolution, managing cooperative and volunteer groups, setting priorities and objectives, improving public speaking skills, developing relations with funding organizations, project planning,

management principles, time management, communication skills, career planning, or similar leadership skills as well as advanced technical training in an occupational area. Similar activities will be programmed for Ecuadorian Trainees.

Exposure to the principles and mechanics of democratic pluralism and free enterprise systems is a crucial but difficult component of the program. Experience in CLASP I has indicated that such ideas are transferred most effectively when viewed in the context of the participant's own occupation or area of career interest. This component will be discussed at greater length in the "Experience America" section below.

Development of personal or professional relationships is one of the most challenging aspects to program but it is also one of the most important factors in participant satisfaction with the program and understanding of the U.S. While it is not possible to program personal interactions, the Mission will take the necessary steps to maximize the probability of friendships and minimize the potential for conflict. This will be done by carefully screening and orienting potential roommates or host families and providing opportunities to meet with Americans who share personal or professional interests.

Achievement of all of these objectives for every participant and group requires an emphasis on the quality of the training programs rather than on total numbers to be trained. In this project design, and in planning and implementing individual or group training programs, USAID/Ecuador will maintain this emphasis on the provision of appropriate, high quality training and educational experiences for each participant with corresponding numerical targets. While cost containment will continue to be a management concern, it will be considered in the context of appropriate, high quality programs rather than in terms of relative cost only.

3. Detailed Training Requests.

In order to program the requirements discussed above, the Mission will assist the contractor to prepare adequate documentation for placement contractors and training institutions to plan a high quality program. This documentation will include all relevant background information as well as a training plan to specify the type and length of training to be provided, the nature and purpose of the "Experience America" activities expected, and the required Follow-on activities to supplement the program.

The importance of adequate advance planning to assure high quality training programs cannot be overemphasized. Therefore, the Mission will comply with the existing LAC Bureau program planning requirements, which are as follows:

1). Short term technical training programs will require at least three months advance written notification consisting of a completed PIO/P or training request with all of the information discussed below.

2). Long term technical and academic training require a minimum of six months advance written notification.

For advanced acceptance at accredited institutions, full documentation of certified transcripts, letters of recommendation, medical clearances, and other required documentation will be forwarded to the institution three to four months prior to the beginning of the program.

It is recognized that the three and six month advance notification requirements are minimum planning requirements. The degree of detail and amount of advance planning needed may exceed this depending on the nature of the training program and the degree to which customized curriculum development is needed. In some cases, the Mission may require the training institution to make a site visit to better identify skill needs in the host country context. While this element of advance planning is often crucial to the design of an appropriate program, adequate lead time for planning will be provided to the trainers.

The training requests, prepared in collaboration with the participant and his/her supervisors, will include all data relevant to the training program, such as language skills, background, literacy in the training language, level of academic qualifications, employment history, specific experience relevant to the type of training to be conducted, home country working conditions, and expectations of the program. The training plan will also specify the expected outcomes in terms of institutional collaboration, eventual use of the training, cost-containment guidelines, and other relevant data needed for planning purposes.

In addition to the information pertaining to the technical training component, each training request or PIO/P will include full information and clear instructions about "Experience America" and Follow-on activities. The request for the "Experience America" component will specify the goal and desired content of the activities, relationship of the activities to the technical component and any relevant background information about the home country situation. The training request will also include any relevant personal information about the participant, including interests, hobbies, or special skills, which may be useful in programming appropriate and interesting activities. The section on Follow-on will specify the goal and content of expected Follow-on activities and explain the relationship to the training component. Since Follow-on is to be part of the same training contract, discussion of this will be included as a general element to assist the U.S. office of the placement contractor in program planning. (See Annex J for sample model PIO/P's for short term and long term programs).

As part of sound management of participant training, the Mission will institute procedures to assure that participants, their supervisors, and A.I.D. training personnel are fully aware of and in agreement with the objectives and content of the training and how it will be used when the participant returns. Ideally, participants and supervisors will actively participate in planning the training program. Particular care will be given to identifying how the training will be used after returning home in order to include appropriate training objectives. For example, if the participant is expected to train co-workers or give technical presentations in the community, an important program component would be materials and practice in training others.

Training plans for groups of participants present special challenges for training institutions and must be adequately documented and planned to assure appropriate and high quality programs. The composition of the group must be adequately homogeneous in terms of background, level of expertise, and professional interests to enable the training institution to offer training which is relevant to each person in the group. Excessive diversity in training groups has been a recurring problem in CLASP I and the Mission will pay particular attention to group composition in the future.

All training programs will be fully funded prior to initiation of training activities. The Mission will assure that all participants be reported to S&T/IT via the Participant Data Form (PDF). The Mission will also assure that the required medical examination forms are submitted to provide enrollment in the health insurance coverage.

4. Pre-program Orientation.

All participants will receive appropriate and adequate orientation and pre-program training necessary to benefit fully from the training program. Such pre-program activities will include English language training if needed, remedial or preparatory academic training, cultural orientation to the U.S., familiarization with the institutions in which the participant will be working, or other elements as needed. It is important that the participants be prepared for what they will experience, emotionally as well as intellectually, and sensitivity training is encouraged particularly for disadvantaged rural participants who may not be familiar even with urban life in their home country. The placement contractor, who will be working with the participants in the U.S., will be responsible for the orientation through its in-country office in Ecuador; if possible, the training institution may also be involved. Although all programs will include an orientation component in the host country, some pre-program training may also be conducted in the U.S. when appropriate and cost-effective.

Pre-program orientation is also appropriate and necessary for host families, roommates, and host communities or institutions. The cultural exchange and sensitivity is a two-way street with requirements on both ends. Intercultural relationships are more likely to be successful if each party has some understanding of the other's situation.

All pre-program expenses, whether incurred in the home country or in the U.S., will be financed with program funds. While there is no specific limit on the length and content of pre-program training, it is emphasized that all in-country training of Ecuadorians will be preparatory for a substantive U.S. training program.

5. "Experience America".

All training programs will include exposure to American life and values, particularly as they relate to democratic institutions, free enterprise, and the development of personal and institutional relationships between participants and Americans. Each participating Mission will develop appropriate "Experience America" (EA) activities for each participant or group of participants which will complement and supplement the technical and leadership skills components. For programming

purposes, the EA component will be a formal component of all contracts and training requests and will be fully integrated into the overall training plan.

"Experience America" is an experiential and participatory, rather than observational, approach to understanding the United States. These activities should make the exposure to values, principles of democratic government, American lifestyles, and U.S. institutions a personal and relevant experience. It is for this reason that visits to shopping malls and sporting events, while enriching, will not comprise the whole "Experience America" component.

The importance of developing personal relationships with Americans cannot be overemphasized, as these contacts often make a strong impression on participants. While such relationships cannot easily be programmed, opportunities to develop friendships can be provided through homestays, American roommates, and mentor or host family relationships. Experience has shown that participant placements in homes or with American roommates are particularly effective, but must include adequate advance planning for the selection and orientation of the participating Americans. The Mission will emphasize to placement contractors that Americans who are hesitant or doubtful should never be "talked into" participating in the program, particularly for long term homestays. Finally, some CLASP participants from disadvantaged backgrounds will find assimilation difficult in middle class American communities. Therefore, "Experience America" planners should be sensitive to the cultural adjustment required and make the activities as personalized as possible.

In addition to the personal relationships established, the EA activities should illustrate the mechanics of how democratic values and a free enterprise system work together to provide opportunity and development. The Mission has identified particular values or institutions which are particularly relevant in the host country context, described in subsequent sections. This process took the following guidance into account:

- 1) The importance of individual initiative in the U.S. economy and social/political system;
- 2) Volunteerism as a cornerstone of democratic participation at all levels (community, state, and national);
- 3) Social mobility as a result of individual effort and achievement;
- 4) Local community organization and control as the first step in the political process;
- 5) The free market and its interrelationship with democratic institutions and processes;
- 6) The relationship between citizens rights and responsibilities (taxes and voting, etc);

- 7) The melting pot and ethnic diversity as a richness and challenge;
- 8) Social responsibility of the private sector;
- 9) The role of constitutional protection of basic rights in facilitating economic and social participation; and
- 10) Mechanisms for fostering public-private partnerships to address key concerns, such as environmental issues, low-income housing, and economic development.

Although the values and institutions discussed above are presented in general, even theoretical terms, in most cases the training program will not be structured solely as a lecture or academic presentation. Rather, the "Experience America" activities can illustrate these values and principles through interaction with American organizations or individuals and supplemented with discussions. These experiences can be made more meaningful if they are associated with the participant's area of expertise. Visits to or on-the-job training in community development corporations, health clinics, business firms, day care centers, cooperatives, or farms can help to make the experience relevant.

The intention is to present a balanced view of the U.S., of the common American situation, with an emphasis on the positive. Therefore, while exposure to the less attractive aspects of American life probably cannot and should not be avoided, it is appropriate that they not be emphasized. The "Experience America" activities should not present a overall negative impression of the US. For example, home stays, when appropriate, should be with mainstream, middle class American families.

It goes without saying that no training program of any length can enable participants to experience all of America: the cultural, political, geographical, and institutional diversity of the U.S. is far too vast. Therefore, the Mission will identify those areas that are most appropriate or applicable to the host country. Relevant "Experience America" activities for Ecuadorians may not be appropriate for others countries. For example, the developing democracy of Ecuador may have particular interest in and need for learning about the forms and procedures of institutional interaction in a democratic society, and this focus has been included in implementation plans. The relationship of local and national government to public opinion and local organizations, the social and economic role of the private sector on all levels, or the functioning of the press are all potential topics of interest. However, in countries with long traditions of democratic government, a more appropriate program might focus on the differences in systems, or the role that progressive private companies can play in social and economic development.

In every case, it is important that the observations and discussions include not only what is done, but why. A focus on the values and principles that underlie democratic pluralism is essential to understanding how the system works. Finally, programs should help participants relate their experience in the U.S. with their home

country situation. This is most effectively done by emphasizing basic values and approaches rather than the surface differences in wealth or resource levels.

6. In-country Follow-on Programs.

One of the most common findings of evaluations of participant training programs over the years has been the importance of providing follow-on support to help participants use their training after returning home. The inclusion of such programs was an integral part of CLASP I and will be expanded under CLASP II. As with the "Experience America" component, Follow-on programs will be incorporated into the overall training plan for each participant or group of participants.

A basic component of all follow-on programs will be an institutional mechanism for maintaining contact with returned participants. In other Missions, this has consisted of an alumni association, periodic reunions organized by USAID or a local PVO, attendance at occasional U.S. community functions, Embassy receptions, a newsletter, maintenance of address lists, or similar tracking activities. An imaginative way of keeping track of former participants is being tested in USAID/EI Salvador's "book of the month club". This program encourages returned participants to maintain their current address on file in order to receive an appropriate technical book each month. The specific proposal of the Ecuador Mission for Follow-on is outlined below. In general terms, the program will serve to ensure that all participants maintain periodic contact with Americans and other returnees. Beyond that basic intention, the Follow-on program is designed to meet the needs of returned participants, especially in assisting the returned Trainees to overcome obstacles to applying their new skills or facilitate their exercise of leadership roles in their communities. The CLASP II Follow-on activities will be integrated to the maximum extent possible with CLASP I Follow-on.

Further, since the EDSP includes both short term technical and long term academic programs in a number of technical fields, the Follow-on program will include different activities for each type of participant as appropriate. Long term academic participants, for example, may require the services of a job bank or former participant networking to find employment in his or her field of expertise, and this activity may be explored for the Ecuadorian context. If necessary, specialized assistance in transferring U.S. academic credits for home country accreditation may be provided.

Most short term participants will already be employed and will therefore require different types of Follow-on assistance. The Project expects to provide materials or even technical assistance in Follow-on seminars to facilitate application of the new knowledge in a host country institution. Follow-on in-country training may be provided to the participant to facilitate acceptance and implementation of new approaches. The possibility of establishing special funds to finance community improvement projects initiated by returned participants, may be investigated for the Ecuadorian case. Appropriate linkages to other existing Mission projects may be encouraged.

The Follow-on programs will be integrated into the overall training request and be consistent with the program objective of enhancing the leadership potential of the participants. The Follow-on activities will also be concerned with maintaining personal,

professional, and institutional relationships with American individuals and institutions as appropriate.

The successful development and implementation of appropriate Follow-on activities will require continuous and directed effort. Therefore, the Mission will approve a full-time position, financed with project funds, dedicated to Follow-on activities. Whenever possible, Follow-on programs will be integrated into the activities of participating Ecuadorian institutions and businesses to provide an institutional base for continuing support after the end of the project. The specifics of the Follow-on program, drawing on previous experience, will be planned and initiated during project start-up.

7. Cost Containment.

The containment of training costs has been an important component of the CLASP I program from the beginning and will continue to be integrated into all program activities. Cost containment comprises the use of Training Cost Analysis (TCA) methodology as well as placement in lower- cost training institutions, negotiation of preferential or concessional tuition rates, and cost-sharing arrangements with training institutions.

All Missions will use the Training Cost Analysis (TCA) methodology for estimating training costs, preparing RFPs and evaluating bids, and monitoring contractor compliance. As was mandated by the Agency in October 1988, the Ecuador Mission is already using TCA. AID/W will continue to refine the TCA methodology and assist the Mission in implementing it for this project. A description of TCA and sample TCA reporting forms are included in Annex K.

Cost containment measures instituted by other Missions have included cost sharing, negotiated reduced or in-state student tuition, and placement in less expensive colleges and universities. The Ecuador Mission has focused on reducing program preparation costs by encouraging in-country English language training and in some cases providing long term training in Spanish. Conceivably, one of the most effective cost containment measures has been the use of TCA to increase the competitiveness of bids and the Mission's ability to analyze them.

Cost containment should be considered in goal-oriented project level terms, keeping in mind the maxim "penny wise, pound foolish". For example, cost-cutting measures which adversely affect the participants' comfort or health or the technical quality of the program are illusory if they result in the project objectives not being met. Conversely, increased expenditures and effort in participant selection, preparation and orientation which reduce the number of failures in long term programs may represent an overall cost savings.

While cost containment will continue to be an important element of the project, it is a management tool rather than an objective in itself. The Mission will keep this distinction in mind to assure that program quality is not sacrificed for cost savings. The Mission will continue to emphasize to placement contractors and training

institutions that living allowances established in Handbook 10 are not to be reduced for purposes of cost containment without an allowance waiver from OIT. Furthermore, placement in a low-cost training institution is only justified if that institution offers appropriate training in the subject required. The participation of leaders and potential leaders requires that program quality be maintained.

8. Summary of Program Requirements.

- * At least 70% of participants will be socially and/or economically disadvantaged. Each Mission will determine appropriate definitions of what constitutes disadvantaged in the host country.
- * At least 40% of all participants will be female.
- * All CLASP II participants will attend technical or academic programs in the U.S. lasting no less than 28 calendar days. At least 20% of all participants will attend programs lasting nine months or longer.
- * No fewer than 10% of all participants will be trained in Historically Black Universities and Colleges (HBCUs).
- * Advance planning of at least 3 months is required for short term programs and 6 months is required for long term programs.
- * Although cost containment continues to be an important management consideration, program quality is not to be limited to achieve cost savings.
- * All CLASP II training programs will include significant and appropriate "Experience America" and Follow-on activities.
- * All participating USAID Missions will implement TCA in program planning, contracting, and reporting.

III. COUNTRY PROJECT DESCRIPTION

A. Mission Background and Rationale

While historians speak of the Conquest as the subjugation of the Incas to Spanish invaders in the sixteenth century, the peoples of Ecuador have historically suffered many "conquests" throughout the centuries, at the hands both of foreign invaders and of powerful internal rulers. These defeats, and the structures of subjugation which have resulted from them, have had an impact on the evolution of exceedingly complex social, political, and economic structures. These can only be

explained by taking into account important ethnic differences, which govern the dynamics of local relationships within major social groupings, as well as the regional and national relationships which link them.

In Ecuador, social and economic status is closely related to ethnic identity. On the bottom of the stratification pyramid are economically and socially marginal indigenous groups. On the top are the descendants of Europeans who command enormous economic resources and political power.

Recent Ecuadorian governments have promoted a melting pot policy of assimilating various social and economic classes into a general "mestizo" class. Traditional ethnic groups are losing their identity through this process. However, to the degree that this process is realized, this may have the potential to diminish the strength of the social and economic hierarchies. This "mestizoization" also promises to have a major impact on Ecuador's leadership structure.

Since the Spanish colonial period, Ecuador's economy has been essentially agrarian. Land ownership, especially that of large estates, has been at the base of the structure of power. Two important economic changes in recent decades, aimed at the modernization of the country, have had major impacts on traditional leadership patterns. The first was the introduction of banana plantations on the Pacific coast, in which the imperatives of industrial agriculture and commercial planning transformed the traditional agricultural regime. Secondly, the discovery, exploitation, and export of petroleum--largely organized by the State--has led to the formation of a new group of technocrats who have arisen to challenge the landed elite in the management and administration of the new revenues generated.

The Agrarian Reform Law of 1964 stimulated other changes in the structure of leadership in Ecuador. While fundamental land redistribution did not take place, the land reform brought about the reorganization of the larger agricultural units along modern lines, including the introduction of new technologies and forms of investment, bringing a corresponding need for new managerial skills. As Andean rural peoples left the haciendas, they began to organize into small producer associations, cooperatives, and other production-related organizations. This has also called for a new form of leadership. At the same time, *campesinos*, in order to articulate their political grievances, became more closely allied with political parties organized along ideological lines. A final major change in the social structure of Ecuador has been the massive influx of population from rural areas into the cities. This is related to population growth, on the one hand, but also reflects the changes in the agrarian economy and the opening up of alternative employment opportunities in the cities, even in the marginal economies.

Today, Ecuador, with some 10.2 million citizens, continues to be a poor country in which the basic means of subsistence are only marginally available to a considerable proportion of the nation. While exhibiting both a rich and varied physical geography and natural resource base, the country has not been able to take advantage of this wealth (especially in petroleum reserves) in such a way as to raise substantially the standard of living of many of its poorest inhabitants. With a relatively

high population growth rate (over 3.0 percent through the early 1980's), the growth of the economy has not kept pace in recent years with the increase in population, leading to a decline of some 33.5% in per capita income from 1980-87. In 1988, PCI was essentially the same as it was a decade earlier. This trend is compounded by high levels of rural-urban migration, which put severe pressures on municipalities to extend basic services to the new urban residents.

As described above, petroleum had been, for some two decades, the motor of expansion in the Ecuadorian economy. Yet the petroleum revenues did not serve to transform the private sector, but rather served to underwrite the expansion of a public sector which today weighs heavily on the economy. When the value of Ecuador's petroleum production declined in the 1980's, the expansion of the economy ended, inflation accelerated, and unemployment increased. The 1987 earthquake greatly intensified the crisis.

It has been estimated that 50 percent of the urban population and 85 percent of the rural fall below the threshold of relative poverty, while at least 20% and 25% respectively have been classified as "critically poor." The critically poor tend to be the indigenous populations, especially in rural areas, and those working in the informal sector in urban zones. They have the highest levels of illiteracy, the largest families, and are likely in urban areas to be the most recent migrants to the cities. Nor have poverty indices improved much over the past 15 years. Basic social services--potable water, sewerage systems, health services, and relevant education--are not available to most of these people, especially in rural areas.

Health conditions are especially deficient for the rural and urban poor. The Ministry of Health, the greatest provider of health services, reaches only 40 percent of the population. The system's focus on curative services, limited to larger population centers, contrasts with the need to expand preventive work in rural and marginal urban zones. Infant and child mortality rates are still high, especially so in certain poor rural provinces. The greatest proportion of child mortality today is among infants in their first month of life, largely from preventable causes.

Outside the cities, the bulk of the people remain engaged in agriculture. This is an economic sector which in recent years has experienced a higher rate of growth; nevertheless, such growth has been largely restricted to the upper end of the agricultural productive regimes, in which there is high capital investment and a greater reliance on scientifically designed inputs. The great majority of agriculturalists are smallhold farmers who use traditional technologies on small amounts of land (or who may own no land at all but work on the lands of others). Such farmers are unable to afford greater capital investment or even basic agricultural inputs. Inequitable land tenure patterns have pushed more small farmers and landless *campesinos* into the cultivation of steep slopes in the highlands, contributing to an ever more severe problem with deforestation, erosion, and environmental degradation.

The growing trend of rural-urban migration, mentioned above, is demonstrated most clearly in the fact that the urban population has grown from 30 percent of the total in 1950 to as much as 60 percent by 1995. By that year, there will be thirteen

cities with populations of more than 100,000. Yet the basic needs for jobs, housing, and services which such growth brings with it are not being met. Seventy percent of the population of Quito have had to arrange for their housing through the informal sector. Infrastructural construction has slowed with the decline in oil price; in Quito, for example, the coverage of the potable water system currently stands at only 57 percent of households. Current municipal government policies are counterproductive in a time when resources are becoming more scarce: for example, subsidized water rates favor the middle and upper classes, while denying the system the capital to extend coverage to the poor urban sectors who currently go without. Unrealistically high construction and infrastructural standards misuse limited resources and force projects to use disproportionate resources of financing, while those built to less stringent rules are declared "illegal." Tax rates have not kept pace with inflation, leading to a decline in municipal services. Finally, the public sector manifests a lack of human capital to face these problems, while private sector expertise is not employed in a collaborative effort to improve urban problems.

The private sector experiences a range of obstacles to its expansion, both in the low productivity of labor, the scarcity of capital and infrastructure in support of industrial and commercial investment, and governmental policies which have historically protected the private sector from the normal risks of a market economy. To this list of constraints must be added private sector attitudes towards government, equity, business, and risk-taking. Some observers suggest that exposure to American cultural patterns may be beneficial in kindling in the Ecuadorian private sector a greater willingness to take business risks and to work in a context of an unencumbered market.

Finally, as a young democracy, Ecuador is struggling with the process of developing the institutional structures and cultural attitudes which are essential to the strengthening of a democratic system. For more than a decade Ecuador has experienced a peaceful succession of democratically elected governments. Yet the desired political stability can only be maintained and augmented through ongoing efforts to support those interests and institutions which strengthen open leadership, peaceful public debate, compromise, freedom of action, and respect for human rights.

Given this panorama, it is appropriate that USAID/Ecuador focus on the formation of human capital, both in its training programs and in other initiatives, in order to assist Ecuadorians in their efforts to transform their society by means of a broad-based, sustainable economic growth which brings with it a wider and more equitable sharing of the benefits of that growth. USAID/Ecuador has thus developed a country strategy consistent with the three principal LAC goals of economic stabilization; basic structural reforms leading to rapid and sustained economic growth; and a wider sharing of the benefits of growth. The related goals that the Ecuador Mission has articulated are the following:

- support the Government of Ecuador's economic stabilization efforts;
- increase agricultural productivity;
- preserve and manage natural resources;

- strengthen private enterprise and promote exports;
- increase access to voluntary family planning services;
- reduce infant and child mortality;
- improve housing, basic services, and urban growth management;
- improve educational opportunities;
- promote narcotics awareness;

The Mission will also place special emphasis in the areas of democratic initiatives, the administration, and participant training.

Participant training is not new to USAID/Ecuador Mission; it has been an ongoing focus for some decades. The immediate predecessor to the EDSP has been the Andean Peace Scholarship Program, a regional program shared with Bolivia, Colombia, and Peru. It began in Ecuador in FY 1988 and has, since its initiation, sent 255 Ecuadorians to the United States for APSP training--most of them from disadvantaged groups--and will send an additional 155 before the program ends. Scholarships and training have been provided to leaders and potential leaders from both the public and private sectors. The General Development office administers the program, and an in-country contractor is responsible for predeparture orientation, programming, in-country language training, and certain administrative tasks. Short term training has been carried out in the fields of health, agriculture, community development, local government and political process, drug prevention, journalism, and artisans. Long term training has consisted of one-to-two year courses for public health technicians and administrators, public and education administrators, university professors, agricultural specialists, and other young professionals.

USAID/Ecuador's ongoing concern with participant training is the basis of the present project paper authorizing the Ecuador Development Scholarship Program. EDSP provides a means for the Mission to address the formation of human capital in the priority areas adopted in the Country Development Strategy Statement. In the subsequent process of the elaboration of the Social-Institutional Framework analysis, five illustrative training areas were developed for the EDSP/CLASP II which synthesize many of the Mission's central objectives, areas outlined in the following section.

B. **Mission Objectives and Strategy**

1. **Project Objectives.**

The **Mission Project Goal** is to promote broad-based economic and social development in Ecuador. The project sub-goal is to encourage and strengthen free enterprise within a system of democratic pluralism.

The **Mission Project Purpose**, which is parallel to that of the entire CLASP II program, is to equip a broad base of leaders and potential leaders in Ecuador with either technical skills and training or academic education, as well as appreciation and understanding of the workings of a free enterprise economy in a democratic society.

The outputs of the Ecuador Development Scholarship Program will be 196 participants who receive short term technical training (an average of six weeks in duration) and 49 who will complete long term technical and academic training in the U.S., for a total of 245 Trainees. All participants will be leaders or potential leaders, which ensures that these Trainees have, through a "multiplier effect," an impact on a much larger number of other people in their communities -- above all, among groups which are socially, economically, and ethnically disadvantaged. The Trainees will be selected from critical areas which are key to social and economic development in Ecuador with respect to disadvantaged groups and which coincide with the guidance provided by the current USAID/Ecuador Action Plan.

By the end of the program in 1997, the returned Trainees should be employed in their respective fields of expertise, applying the skills learned in the U.S. The participants should have benefitted from the program in terms of either finding an appropriate job or having increased responsibility or salary in an existing one. Furthermore, it is expected that returned participants will be active and influential in community or professional affairs and that they will maintain some relationship with the U.S. Finally, Trainees are expected to develop an understanding of some aspects of U.S. life, values, and institutions relevant to their own occupation or situation.

The inputs to be provided by the Mission for the Project include: (1) \$1,740,266 for short term training; (2) \$2,072,168 for long term training; (3) \$1,361,648 for U.S. administrative costs; (4) \$750,042 for in-country administrative costs; (5) \$225,000 for audits and evaluations; (6) \$249,000 for the EDSP Project Manager; and (7) \$201,876 for contingencies. Whenever possible, based on the financial strength of the institutions in question, Ecuadorian trainees' institutions will be asked to make an in-kind contribution.

2. Mission Training Strategy.

In general, the objectives of the Ecuador Development Scholarship Program are a continuation of those in the Mission's first CLASP program, the Andean Peace Scholarship Program. Those were the support of the social and economic development of Ecuador through the promotion of democratic pluralism and institutions, as well as the encouragement of a free enterprise economy. EDSP, like the APSP, is designed to reach levels of society which do not generally have access to U.S. training, through its requirement that 70% of the Trainees be from disadvantaged groups and 40% be women. EDSP/CLASP II highlights another dimension, however--the importance of selecting leaders, actual and potential, who can maximize the impact of their U.S.-based training by influencing the direction of their institutions. For the purposes of CLASP II, "institution" is defined to include grass roots organizations and communities as well as more formally organized groups.

The Social-Institutional Framework analysis, carried out as a preliminary step to project design for EDSP/CLASP II, reviewed the evolution of the leadership structure in Ecuador, with a particular emphasis on new, grass roots leadership in rural and

marginal urban areas in order to identify potential new leader groups that would be suitable for CLASP training.

The principle outcomes of the SIF are two matrices. The first one identifies major Ecuadorian leadership groups and the priority sectors associated with each. Matrix II details the facets of the potential program for occupants of key leadership positions.

These matrices were meant to be suggestive and illustrative, and were not intended to be a final and inflexible statement of specific training groups. The priority areas and groups suggested in the present Project Paper are likewise illustrative of the kinds of training programs that can be carried out under EDSP, taking into account the five priority areas identified. The Mission will review program priorities on a regular basis throughout the life of project in order to ensure that the EDPS is as responsive as possible to the country's training needs. Revisions to program priorities will, of course, necessitate a revision in training groups.

The five illustrative areas identified are: (1) agriculture/natural resources; (2) health/family planning; (3) urban growth management; (4) export, trade and investment; and (5) government and democratic initiatives. Again, these were selected in concert with Mission priorities. CLASP II can best strengthen leadership structure in each of these sectors in the following ways:

Agriculture/Natural Resources: These areas encompass some of the principal development constraints faced by Ecuador, and leadership development and technical training here are fully consistent with Mission goals. Although Ecuador's petroleum industry has surpassed agriculture in terms of its proportion of the GDP, agriculture employs more individuals than any other sector of the economy. Ecuador faces serious problems in food security due to population growth and the massive rural-urban migration discussed previously. Increased imports of foodstuffs draw down important foreign exchange reserves while reserves generated through the export of foodstuffs are declining. The conservation and appropriate management of Ecuador's natural resource base--soil, water, and trees--is essential to continued agricultural production and the provision of adequate, potable water for urban and rural populations.

In this priority area, leaders of small producers' associations, women rural leaders, agricultural high school teachers, and agricultural policy planners will be targeted.

Health/family planning: Maternal and child mortality indices continue to be excessively high in Ecuador. One reason for these high rates is inadequate nutrition. Improvements in and maintenance of maternal and child health are necessary in order to ensure a healthy labor force. Large families contribute directly to poor child and maternal health. They are particularly prevalent among the poorer classes, which have few resources with which to raise large numbers of children adequately.

In health and family planning, rural and marginal urban health promoters, nutrition specialists, and health policy implementers have been selected as the target groups.

Export, trade and investment: Increased attention to the export of agricultural and industrial goods is necessary to obtain additional foreign exchange. In the past, the State has subsidized local industry and protected it by placing high tariffs on imports. This policy has guaranteed national industries a market; but it has not fostered the efficiency and competitiveness required to compete in a global market. In this priority area, the Mission intends to target leaders in the nontraditional production and export sector, leaders of non-traditional industrial producer associations, and economists with a potential for improving the investment climate.

Urban growth management: Massive rural-urban migration has created major problems in the supply of basic services. Municipal governments need employees who are well trained, able to initiate new programs, capably manage existing services, and generate new sources of revenue in order to attend to the basic needs of the new migrants as well as the poor and middle class urban population. Given the overwhelming dimensions of this problem, initiatives on the part of marginal urban settlers to solve their own problems, with and without the assistance of municipal governments, need to be supported.

In the area of urban growth management, priority target groups will be mayors and municipal government administrators, grass roots community leaders, and urban planners.

Government/Democratic institutions: Democratic institutions must be strengthened in order to ensure popular participation in decisions affecting the national wellbeing. Recent confrontations in the national Congress between political leaders and parties indicate how fragile the fabric of democracy is in Ecuador. The leadership capacity of leaders and potential leaders of major political parties will be reinforced to help ensure effective democratic political institutions. At the local level, democratic institutions can be fortified through supporting the activities of grass roots organizations, which can have an impact on the national polity as well as solve community problems.

Under the rubric of government and democratic initiatives, the following groups have been targeted for training under EDSP: indigenous and community *cabildo* leaders; election officials and human rights leaders; women administrators; and young political leaders.

Current investment patterns by the GOE suggest that it considers these sectors to be priority areas. Similarly, the private sector, principally through industry and non-governmental organizations, is actively involved in each of them.

C. Project Activities

1. General Project Orientation.

The Ecuador Development Scholarship Project is part of a regional program which establishes certain guidelines to be followed by all Missions in the LAC Region (see Section II.C., "Program Description"). In order to adapt the regional framework of objectives and policies to conditions in Ecuador, a Social-Institutional Analysis Framework was completed in December 1990 (see Section VI.A., "Social/Institutional Analysis"). The Ecuador Development Scholarship Program adheres to all of the program policies and procedures established by the regional process. Each policy or procedure will be discussed separately in order to indicate how the regional guidance has been integrated into the EDSP.

a. Trainee Recruitment and Selection

As previously discussed, Trainees under the Ecuador Development Scholarship Project will be selected from fields critical to the successful social and economic development of Ecuador. Furthermore, 70% or more of the EDSP Trainees will be from socially, economically, or ethnically disadvantaged groups, and at least 40% will be women. No one from elite groups in Ecuador will be selected as an Development Scholar. Definitions of "disadvantaged" and "elite" have been established to make certain these goals are met (see Section III.C.1.h., below).

In order to review priority areas and the programmed training groups, a new Advisory Committee will be established, made up of USAID/Ecuador staff from the Director's Office, the General Development Office, the technical specialties, and from other interested divisions. It will be composed both US and Ecuadorian AID personnel, and its membership will be approved by the Mission Director. This body will review, with guidance from the General Development Officers and the EDSP Coordinator, the priority training areas and the distribution of programmed training groups. They may either choose to approve the plans outlined in the project paper or modify them in light of changing priorities within the Mission.

The USAID/Ecuador Advisory Committee will choose two or more counterpart institutions for each field being targeted for training. Such institutions will be selected on the basis of their work in the priority fields and their sustainability as institutions in the long term. Representatives of these institutions and the EDSP contractor will form the core of an Ad Hoc Committee. The membership of the Ad Hoc Committee will be expanded by a representative from the appropriate technical office and, whenever possible, by Ecuadorian "expert advisers" from each field being targeted for training. They will be individuals knowledgeable about and respected in the respective targeted fields. The "expert advisers" will be invited to participate in the Committee's activities by the core Ad Hoc Committee members. The role of the Ad Hoc Committee will be to formulate the basic training program design, including elaboration of training objectives and the candidate profile.

The counterpart institutions will be required to submit at least twice as many candidates as there are slots available. All short term and most long term

development scholar candidates will be drawn from participating institutions; self nomination will only be considered if insufficient numbers of qualified long term scholars (who are able to leave their jobs and families for so long) cannot be identified through institutional recruitment. As is presently the case with the APSP, the local office of the contractor will review applicants' credentials for selection and interview candidates, drawing on their leadership experience or potential and the other components of the candidate profile. Actual selection will be made by a subcommittee of the Advisory Committee, with the guidance of the EDSP Coordinator.

b. Training Objectives

USAID/Ecuador fully recognizes the importance of the technical and academic elements of the program, especially given the fact that disadvantaged Ecuadorians have little access to U.S training. All Trainees will be programmed for at least one month of training, and every effort will be made to permit at least 20% of the participants to attend long term training programs of nine months or more. The Mission will place at least 10% of all participants in Historically Black Colleges and Universities (HBCUs). All training will contribute to the enhancement of each Trainee's technical skills and leadership qualities, elements which are important for career advancement. Trainees will be exposed, as part of their training, to the operations of a free enterprise system and democratic pluralism as they relate to their fields of interest. Finally, to the extent possible, the Trainees will be given opportunities to develop longer-term relationships, especially with individuals and institutions in their areas of technical specialty.

c. Detailed Training Requests

In the implementation of the APSP, USAID/Ecuador, in collaboration with the in-country contractor, has developed a detailed format for informing the U.S. training contractor of the desired training program. The preliminary outlines of future training programs for the EDSP have already been formulated in the SIF, prepared in conjunction with EDSP/CLASP II planning. While the training programs described there may be modified as Mission priorities change, these sketches will expedite the design of training groups, so that the process can begin long before the desired starting date of each program. These plans include not only the technical elements of training but also information on "Experience America" and Follow-on components.

In the case of the APSP, the in-country contractor has endeavored to work closely with the U.S. placement contractor; and the U.S. contractor has sent representatives periodically to participate in the development of the training programs. However, the necessary communications should be even more fluid with the EDSP/CLASP II Program, in which a single contractor will provide both in-country services in the development of training programs as well as U.S. placement. For training proposals to be processed by the training contractor, the Mission will allow at least three months for short term training and at least six months for long term programs.

d. Pre-program orientation

A program of pre-departure orientation has been developed in the implementation of the APSP which provides a suitable model for that to be used in the EDSP. According to this model, Pre-departure orientation will be accomplished in two sessions totaling five to seven days. According to this model, in the first session, administrative matters (such as medical examinations and travel documentation) will be carried out. Needs assessments will be conducted to determine participant expectations, and group bonding exercises and "survival English" will also be provided. Mission and contractor roles and relationships will be explained, as will the conditions of training and responsibilities relevant to all EDSP Scholars. (Conditions of training and responsibilities will also be discussed during interviews with candidates prior to their selection, and with institutional sponsors during the process of coordinating program design and recruitment).

The second orientation session will be carried out soon before travel to the U.S. It will include cultural orientation (life in the U.S., cultural differences and general background about the U.S.), information about the training program and the training site, logistical information (including preparation for the airport and flight experience, if necessary), and advice about health and safety precautions participants should take. Also, during this session the follow-on program will be described and further developed; participants will receive information from the Mission's technical divisions about USAID project activities; final documentation will be processed, including tax forms and visas; and further "survival English" and group bonding exercises will be offered. Upon the trainees' arrival in the U.S., the contractor shall provide further orientation, including information about the U.S., income taxes, their program and other administrative details of the EDSP scholarship, specifics about housing, travel, food, allowances, vacations, etc.

e. "Experience America"

"Experience America" (EA) is an essential part of the Ecuador Development Scholarship Program. Training proposals will include appropriate guidance on how participants will be given the opportunity to participate actively in daily life in the United States. Certain values will be stressed in these experiences, especially volunteerism, social mobility based on individual effort, grass roots democracy, entrepreneurship and the nature of free markets, the social role of private enterprise, and citizen responsibilities and rights. An emphasis on EA will be incorporated into technical programs, so that longer-term relationships can hopefully be established with the individuals and institutions with which they are working. EDSP Trainees should be programmed to meet people outside their field as well, in order to gain broader insight into a cross-section of U.S. life.

f. Follow-on Program

The Mission and the current in-country contractor have already developed under APSP a program of Follow-on activities. The Mission believes that meaningful follow-on is a Trainee/ institution-centered activity, and as such is an integral part of

the training process which must be taken into consideration during the planning and program design phases. Follow-on should serve to facilitate transfer of new skills and knowledge in order to enhance the applicability of the training; to maintain professional and personal ties to the United States and to USAID/Ecuador; and to foment links among the Trainees themselves in Ecuador. Up to the present, debriefings are held when APSP scholars return to Ecuador. Workshops and meetings have been held for returnees.

Follow-on activities under APSP include evaluation and the promotion of networking and multiplier effects, among other things. In addition to debriefings and individual group-specific workshops and meetings, seven regional groups and several technical groups will be created to provide the means by which returnees can take the initiative to address their regional and professional needs. The regional groups, which encompass all of Ecuador, will naturally be made up of returnees in a variety of fields. The technical groups will convene returnees from similar fields. These groupings, which will each meet at least twice in the coming year, will meet for two-day workshops, the former to plan activities and/or small projects for their regions, while the latter to receive training. Representatives from the two kinds of groups will meet to form a National Coordinating Council, which will meet periodically in order to share experiences and to develop lines of communication and cooperation throughout the country. A quarterly newsletter, a directory of grantees, and a periodic working paper on development topics will also be published.

Under the EDSP/CLASP II, Follow-on activities are considered of fundamental importance. Activities and services similar to those described for the current APSP will be organized for all Development Scholars by the in-country office of the placement contractor. This will include organizing the National Coordinating Council of returnees, and designing and coordinating the twice yearly meetings for the technical and regional groupings. The Follow-on meetings should be organized as seminars, planned jointly by the contractor and the Mission General Development Office. Such seminars should reinforce the technical training received in the U.S., as well expand training in leadership skills in such areas as organizing and managing groups, developing the capacity for participatory group decision-making, conflict management, and conducting productive meetings. Another area which Follow-on seminars may emphasize is project planning and the organization of work effort, including such issues as articulating goals and priorities, formulating work plans and schedules, monitoring and evaluating performance, and budgeting and financial record-keeping.

The Follow-on program will also continue to produce newsletters and other relevant publications and to update the directory of returnees for distribution to returned Development Scholars. This newsletter may include information on future employment and scholarship opportunities, "position wanted" advertisements, news on meetings, visitors, the current activities of returned Trainees, events in the U.S. of possible interest to former participants, and articles and book reviews by the participants themselves.

Returned participants, as well as U.S. government and PVO officials working in Ecuador, should also be recruited to speak at regional seminars or other gatherings.

The contractor's in-country office may also wish to maintain an employment clearing house, drawing on information provided by former Trainees and other informants, to inform returning or former participants of job opportunities.

Finally, to encourage networking among returned participants, the Mission plans to orient its recruitment such that there exists an affinity of fields and a relative geographic proximity among the Trainees sent to the U.S. As a matter of course, returned Development Scholars should also be requested to take part in the in-country pre-departure orientations of new groups traveling to the United States.

g. Cost Containment

The Mission and the in-country contractor currently monitor APSP costs through the training cost analysis system, and such monitoring will continue under EDSP/CLASP II. With information generated in-country and with data from the central evaluation contractor, the Mission expects to have access to detailed cost comparisons in order to be able ensure a practical process of cost containment, such as encouraging the contractor to locate training institutions which might enter into cost sharing arrangements, to negotiate reduced or in-state student tuition, or to secure placement in less expensive colleges and universities. The EDSP Request for Proposal (RFP), which will invite interested contractors to bid on Project implementation, will specifically require potential contractors to introduce cost containment actions into their proposals, with the understanding that the relevance or quality of the training programs should not be reduced in order to achieve these cost savings. Other cost containment measures include timely planning, competitive bidding processes, group rate air fares, conducting training for groups, arranging for short-term technical programs in Spanish, conducting most pre-training English language instruction in-country, and maintaining group size at optimal levels of 14-20 participants.

h. Project Definitions

For the Ecuador Development Scholarship Project to comply with the regional guidance for Trainee Recruitment and Selection (see Section III.C.1.a. above), it is necessary to establish clear definitions to guide the selection process. These definitions were established for the Ecuadorian context as part of the SIF analysis. They are:

-- **Economically Disadvantaged:**

Available empirical evidence suggests that about two-thirds of the Ecuadorian population live under conditions of absolute or relative poverty. The poverty threshold has been expressed in terms of the minimum wage: at least five minimum wage units are required to cross the threshold of relative poverty, that is, enough income to meet basic needs. This operational definition of poverty is based on calculations of a basic market basket formulated over a decade ago. Subsequent macroeconomic policies and the effects of segmented markets have tended to depress further income derived

from the formal sector, leading to the expansion of "underground" (informal and unreported formal) economic activity.

The data suggesting an economically disadvantaged work force in Ecuador is reinforced by World Bank data which reports that income distribution in Ecuador is among the worst for middle-income Latin American countries.

Various income calculations of rural and urban workers suggests from household surveys and other sources estimate average monthly earnings will be in the range of S/92,400 per worker for urban workers and perhaps some S/70,000 per worker for rural areas when income is derived from agriculture and S/90,000 for urban-generated incomes (such as commerce, agroindustry, rural banking, or work in the public sector).

For EDSP/CLASP II, it is recommended that the current APSP operational definition of economic disadvantage, which is based on a per capita application of multiples of Ecuador's minimum wage, continue to be used. This definition establishes the maximum income for the candidate's head of household at five times the legal minimum wage and provides for family income to exceed this amount by 1.43 times the minimum wage per additional adult family member, and by 0.47 times the minimum wage per child. In the case of candidates living with relatives on whom they are not dependent, such as siblings or cousins, the candidate's income will be considered the sole income. It is recommended that the current definition be applied to urban candidates and that the maximum income for rural candidates/families be calculated as 70% of the maximum amount allowed in the urban areas. These figures should be reviewed at least twice a year with the assistance of the Mission economist and adjusted if they fail to reflect changing conditions. Currently, average urban households (consisting of husband, wife and three children) with earnings under S/3,763,200 per year (with S/980 equal to US\$1.00), and rural households with annual earnings of less than S/2,558,976, should be considered economically disadvantaged. In terms of U.S. dollars, this implies, at current exchange rates, an economically disadvantaged threshold of US\$320/month per household for urban applicants and US\$218/month per household for rural applicants whose income is derived principally from agriculture.

These figures should be subject to the following conditions: that a reasonable effort has been made to identify all earnings of applicant-households in addition to the basic reported source; that a best effort be made to visit the domicile of the applicant to verify socioeconomic status; and that anyone be excluded who, through wealth if not income, would otherwise have the resources required to finance study in the U.S.

-- **Ethnically Disadvantaged:**

An Ecuadorian is ethnically disadvantaged if s/he suffers social discrimination due to identification with a specific minority ethnic group. Discrimination is likely to occur only if someone from an ethnic minority group is impoverished; however, most minorities are poor.

There are three principal categories of ethnic minorities in Ecuador: Blacks; descendants of Quechua Indians who have maintained their Andean ethnic identity; and lowland Indians from the Eastern Amazon region. Although distinguished in terms of their culture, language, and economies, the Andean groups and Indians from the eastern lowlands have banded together in recent times in an indigenous movement which has attempted to confront the structures of the central government for redress of their grievances.

For the Andean population and for certain Amazon groups, this definition is complicated by the fact that among both groups there has been, among many, assimilation to a *mestizo* identity. For the purposes of this definition, the ethnically disadvantaged are those whose first language is not Spanish, who are socially embedded in an indigenous Andean or lowland community, who may continue to adopt indigenous dress or observe native customs. They may have an indigenous surname, though a Spanish surname does not in itself exclude a person from this status. Others who are descendants of these minority populations with distinguishable characteristics, such as the Quechua language, may also be classified as ethnically disadvantaged. These latter may reside in urban as well as rural settings.

-- Socially disadvantaged:

Socially disadvantaged Ecuadorians are individuals whose life chances have been limited due to their social circumstances or history, leading to a disadvantaged social status which is passed through the generations. Although their background may include ethnic origin, for the purposes of classifying participants ethnicity is treated as a separate variable.

Many Ecuadorians are able to overcome these limiting factors and experience upward mobility. The CLASP II scholarship program is designed to assist them in this process.

The USAID/Ecuador Mission has defined certain social attributes which are to be used in assigning this status to applicants. These are: (1) female gender; (2) residence in small towns, rural areas, or urban slums; (3) parents with less than a high school education; (4) candidates with less than a high school education; (5) the occupation of the father or mother categorizes them as non-professionals, blue-collar workers, or subsistence (or near subsistence) farmers; and (6) limited international travel experience. Potential participants should possess at least four of the six indicators to be classified as socially disadvantaged. The indicators, consistent with definitions used by other Missions and with AID/Washington guidance, are highly correlated with each other. This same method of defining as socially disadvantaged those individuals who rank as such on at least four of the six indicators will be retained in the EDSP.

-- Elites:

The elites are the privileged classes of Ecuador, historically associated with a limited number of family names. Many of these families have been in Ecuador since

the early colonial period; all enjoy a high level of prestige in Ecuadorian society. Elites perpetuate themselves through the generations by the transmission of social and economic status. Elites maintain their identity and internal cohesion by means of intermarriage among the members of the privileged families. Wealth is inherited; and through access to education and through mentoring, most come to occupy influential positions in Ecuadorian society. The elites are often active in political life, often in ways which will serve to maintain their privileged position.

Elites can be classified as either economic, political, or cultural elites, although there is considerable overlap between these categories. Economic elites are members of the families that dominate the major sectors of the national economy: national industry, owners of the major import-export firms and other commercial interests, large landholders, and directors of large financial institutions, such as banks and loan associations. Political elites are those who dominate national political parties and who, through these bodies, exercise major decision-making power with respect to the accumulation and distribution of governmental resources. There is a high correlation between cultural and economic elite status.

No members of the elites are to be selected for EDSP scholarships. As empirical indicators, it has been suggested that, in the political sphere, the following be considered the political elite: Leaders of legally recognized national political parties; members of the National Congress; the President, his top advisors, and members of his cabinet; and members of the Supreme Court. Close family members of these persons would also be excluded. In the economic sphere, anyone with a total annual nuclear family income of over US\$100,000 (or S/91,500,000), including all sources of income, will be excluded. CLASP guidelines also exclude anyone who could, on family resources, afford to study in the U.S. on their own; this group is thus treated, for purposes of categorization, as members of the economic elite.

-- **Leaders:**

The EDSP program generally defines "leaders" as those individuals who are able to influence the opinions and actions of others. Leaders are, by definition, members of social groups. Typically, they are involved in several actions: they make decisions for the group (or take the initiative leading to group decisions); they mobilize group members to action: they settle disputes; and they serve as intermediaries, articulating their or the group's views to outsiders and relating external issues to the group. As members of collectivities, leaders must be recognized as such by group members. Such recognition can be due to the fact that they occupy a socially sanctioned leadership position in traditional or bureaucratic hierarchies; or because they are able to move people to action and to influence opinion by virtue of the inherent capacity of persuasiveness and example.

Leaders in Ecuador can be classified as (a) traditional (such as the leaders of native communities in the highlands or in the eastern lowlands, leaders of agrarian movements, or informal heads of localities and regions on the Coast); and (b) modern (those in governmental positions at all levels, or community leaders who represent, at the grass roots level, the interests of their group or community).

-- **Potential leaders**

This concept related for the most part to youth (generally, under 30 years of age). The "potential leader" is one judged by his/her peers as a person who reveals some of the qualities that are required of a leader as described in the previous definition. This person is deemed likely by his peers or by employers to occupy posts of leadership in the future.

-- **Institution**

For the purposes of CLASP II, "institution" is defined to include grass roots organizations and communities as well as more formally organized groups.

2. Short term Technical Training.

Short term technical training (STT) will be the form in which the bulk of the EDSP Development Scholars will receive their U.S. training. STT has the advantage of permitting active members of the work force to take part in an intensive training program, persons who would be unable to participate in a longer training program. STT also minimizes the need for long term language training, since STT programs can be conducted in Spanish. STT is well suited to the dual purpose of the Ecuador Development Scholarship Program in providing training in selected fields as well as exposing Trainees to the values of American society,

The average duration of short term technical training will be six weeks; no program will last for less than one month. Average group size will range between 14 and 20 persons per group. All STT will be offered in Spanish or with Spanish translation so that participants will not be required to learn English. Given the low-income background of the Trainees and the fact that most of them have never made an international trip previously, the contractor will make special efforts by those means deemed necessary to ensure that the groups are adequately prepared or accompanied in order to assure their safety and wellbeing.

a. **Target Groups**

Many of the characteristics of the short term target groups were discussed previously in the Mission Training Strategy. In addition to the mandated criteria (i.e., the emphases on leaders, women, and the disadvantaged), the EDSP will recruit younger people, usually age 40 or under, working largely in local-level or national intermediary institutions or in their communities in the five priority fields of agriculture and natural resources; health; urban growth management; democratic initiatives; and export, trade, and investment. While persons of greater age are not eliminated from participation, the age preference stated above reflects the hope that Trainees will be able to draw upon both the Training experience and the subsequent Follow-on activities as a career resource as they move, over the succeeding years of their careers, into greater leadership positions. There is a focus as well on the recruitment of rural leaders and those of marginal urban areas.

b. Recruitment Procedures

Recruitment for the STT candidates begins with the participation of the Mission's technical divisions and the Advisory Committee, when they assist in identifying the appropriate public and private institutions in the technical field--especially those serving the disadvantaged--where suitable candidates are most likely to be found. Recruitment will pass through several stages of screening: first, the counterpart institutions will be required to screen candidates to meet the candidate profile, including leadership; second, the contractor will review application forms to screen out unqualified candidates and identify candidates for interviews; and third, the Advisory subcommittee will be responsible for final selection (subject to USAID approval). The counterpart institution(s) will be required to submit at least twice as many candidates as training slots are available.

c. Selection Procedures and Criteria

Nominees from the counterpart institutions will be reviewed by the in-country office of the contractor, with oversight by the EDSP Coordinator within USAID/Ecuador, to evaluate candidates and to ensure that the Project selection guidelines are being met. These include, again, emphasis on leadership qualities, women, disadvantaged status, and on spread effects among the low income population. Those who meet the criteria will be interviewed; for STT in Ecuador, a group interview methodology has been used for the APSP, and that practice will continue under EDSP. Using an evaluation form, candidates are ranked based on objective factors (i.e., employment, income levels, education level, or the other criteria for socially disadvantaged status) and on subjective elements (such as the degree to which leadership characteristics seem to be confirmed within the group interview). Candidates are ranked into four categories: highly recommended; recommended; recommended as an alternate; and not recommended.

A designated subcommittee of the Advisory Committee, which will have authorized the general outline of the training program in its annual review of training priorities, will make the final selection of participants (subject to USAID approval). The committee will base its selection on information provided by the contractor as to the nature of the training program, the details of the selection process, special considerations with respect to the institutions invited to participate, and the candidates' ranking. Minutes of the Advisory Committee discussions about particular groups are then included in the training group's file.

d. Types of Training

The groups to be included in the STT, made up of 144 individuals in all, will emphasize the topics which follow, unless certain training group foci are changed in the Advisory Committee annual review of training priorities.

- 18 mayors and municipal government administrators from the major regions of the country, with a focus on administrative and financial aspects of town government and on leadership skills.

- 18 grass-roots community leaders, with a focus on the areas of neighborhood organization, goal setting, leadership skills, and areas of technical assistance, how to secure credit, etc.
- 18 marginal urban and rural health promoters, to be trained in practical skills; knowledge relating to community health among the poor; the promotion of community health programs; and in leadership skills;
- 18 nutritionists, to be trained in local-level nutrition planning and other programs among disadvantaged populations, and in leadership skills;
- 14 agricultural producer association leaders, for training in management and leadership, marketing, and the functioning of producer associations in the US;
- 18 rural women leaders, for training in leadership skills related to small-scale agricultural production, management skills, the use of credit, and marketing;
- 18 *cabildo* (local government) and indigenous leaders, for training in technical and leadership skills, to be designed in conjunction with the Trainees themselves;
- 14 election officials and/or human rights leaders, to be trained in the spirit and techniques of free, fair and open elections and in leadership through other means of exercising and protecting citizens' rights;
- 16 women administrators for training in project and program management, and in leadership skills;
- 14 young political leaders, from the principal political parties of Ecuador, for training leading to understanding of the US democratic political system;
- 16 leaders in the non-traditional production and export sector, to gain understanding of commodity producers' associations in the US and for training in management, leadership, and marketing;
- 14 non-traditional industrial producer association leaders, for leadership training and for technical training relating to organizational management, marketing, packaging, and quality control.

e. Pre-departure Preparation

Pre-departure preparation will begin at the start of the recruitment process, when the counterpart institutions will be informed about the nature of the scholarship, including conditions and responsibilities. Candidates will also receive detailed information about conditions and expectations at the time of the pre-selection interviews. Institutions who nominate applicants will also be provided with a similar description of responsibilities and expectations. A scholarship award letter will follow

for successful applicants which will repeat this information, and which will clarify policies relating to the applicant's need to demonstrate committed cooperation in the subsequent preparations. Candidates will be encouraged to obtain answers to their questions in this initial period as well as to make any suggestions they may have concerning special training interests.

As described previously, two pre-departure orientations will be held in Quito. The administrative matters dealt with in the first session will include medical examinations and travel documentation. Needs assessments will be conducted to determine participant expectations, and group bonding exercises and "survival English" will also be provided. Mission and contractor roles and relationships will be explained, as will the conditions of training and responsibilities relevant to all EDSP scholars. (Conditions of training and responsibilities will also be discussed during interviews with candidates prior to their selection, and with institutional sponsors during the process of coordinating program design and recruitment).

The second orientation session will be carried out soon before travel to the U.S. It will include cultural orientation (life in the U.S., cultural differences and general background about the U.S.), information about the training program and the training site, logistical information (including preparation for the airport and flight experience, if necessary), and advice about health and safety precautions participants should take. Also, during this session the follow-on program will be described and further developed; participants will receive information from the Mission's technical divisions about USAID project activities; final documentation will be processed, including tax forms and visas; and further "survival English" and group bonding exercises will be offered. Upon the trainees' arrival in the U.S., the contractor shall provide further orientation, including information about the U.S., income taxes, their program and other administrative details of the EDSP scholarship, specifics about housing, travel, food, allowances, vacations, etc.

f. "Experience America" (EA)

The EA portion of the short term program will be designed to give both an insight into American daily life as well as an understanding of U.S. institutions and values which underlie democratic processes and the free enterprise system. EA will also allow the participants to have some feeling for recreation in the U.S. Specific suggestions for the EDSP "Experience America" programs offered in the Ecuador SIF include observations of local-level organizations in the U.S., meeting volunteers who work in community action groups, visits to U.S. municipal governments to see how cities respond to social service requirements, visits to schools, clinics, and hospitals to see how community health issues are developed, interviews with lobbyists in Washington or at the state level, and participation in electoral campaigns.

g. Follow-On

On their return to Ecuador, STT Trainees will take part in a debriefing session to discuss their experience and to learn more about the Mission's Follow-on program. As was discussed in more detail in the earlier general description of Follow-on, STT Development Scholars will be assigned both to technical and regional groups which will meet twice a year. Such meetings will offer the opportunity to network with other Trainees, to receive further technical training, to improve their skills in leadership and organization, and to keep in contact with U.S. institutions. Regional groups of STT Trainees and their long term colleagues will be encouraged to take the initiative to formulate and implement small development projects in their regions, which may serve as one important basis for the groups' continuing functioning.

h. Cost Containment Measures

Cost containment measures relating to short term training include, in the first place, the general decision to provide such training in Spanish, in order to avoid the significant costs of long term English language training. STT Trainees will still be provided some training, usually about twenty hours in the class room, of "survival English." The best use of resources in terms of programming costs also suggest group sizes between 14 and 20, which have been determined to be the most efficient group size for training.

3. Long term Technical Training.

Long term Technical Training (LTT) in the Ecuador Development Scholarship Program is presently programmed for one group (while the rest of the long term training will be academic, not technical). Long-term training of this sort is appropriate in the case of training programs which require a more detailed and intensive development than is possible in STT but when a formal degree is not required or appropriate for the specific field concerned. In the EDSP, the one group designated for long term technical training will number some ten persons, which will permit economies of scale over past practices where individuals were sent for LTT. The program will be of twelve months duration, and Trainees will be awarded Certificates of Achievement at its completion. This program will be offered in Spanish with native speakers or with qualified translators. The Trainees will also be offered supplementary English training during their stay in the U.S., but they will not be required to have reached a functional level of expertise in academic English in order to receive their training.

a. Target Groups.

The target group for long term technical training has been specified in current planning as a group of agricultural high school teachers.

b. Recruitment Procedures

Nominations will be solicited from the directors of agricultural high schools, from key informants in PVOs which work in rural areas, from extension agents, and from other persons who are informed about these agricultural schools.

c. Selection Procedures and Criteria.

In addition to the established program criteria, preference should be given to teachers who define their jobs as a vocation and who intend to continue working in rural areas. The selection process will follow the same steps as that described for STT.

d. Types of Training.

The training for this group of teachers will be specifically tailored to their needs and will be presented in Spanish. It will combine both formal classroom work and observational training. Classroom training will focus on teaching techniques, community organization, and leadership skills.

e. Pre-departure Preparation

Again, the pre-departure procedures and orientation offered this group will be similar to that provided STT Trainees; they would also be receiving an introduction to the university system, academic regulations and procedures, and college life.

f. "Experience America"

An important aspect of this group's "Experience America" would be the chance to become familiar with vocational training in agriculture in the U.S. and to come to know teachers in that field. These teachers should also come to know the best examples of how key American values are taught to young people in the education system.

g. Follow-on.

As will all EDSP Trainees, these LTT Trainees will have the opportunity, after returning to Ecuador, to meet regularly with fellow returnees in their fields and in their regions. They will be encouraged as well to take advantage of the other elements of the Follow-on program and to maintain contact with mentors and friends in the U.S.

4. Academic Education.

Most of the long term training to be sponsored under the Ecuador Development Scholarship Program will be academic training for the Master's degree. The Mission feels that the resources of CLASP II can contribute in a valuable way to the strengthening within Ecuador of a group of professionals with greater expertise in

policy implementation. Under EDSP, USAID/Ecuador has therefore chosen to support advanced academic training in critical fields of development in order to contribute to the growth of a managerial capacity in the country.

Current planning provides for four long term academic groups, with groups numbering between five and twelve members and with a duration of 24 months in the U.S. These students will receive in-country English language training in Ecuador of at least several months' duration, then will travel to the U.S. in early summer in order to receive another three to four months of intensive language training. The policies established for English language proficiency under the APSP for Ecuador will be extended to the EDSP/CLASP II program. The Mission's current ELT policy recognizes the need for a minimum entry level proficiency score and makes the participant's selection conditional on the demonstration of reasonable progress during a three month trial period of semi-intensive English instruction.

a. Target Groups

In addition to the STT described previously, a second major purpose of the EDSP in Ecuador will be to expand the base of leaders in various fields who are able to participate in the implementation of policy, and who gain expertise in policy analysis, planning, and decision-making. Long term training in four of the priority areas (health, agriculture, urban growth, and trade and investment) will target university graduates who are currently working in these fields, for specialized training in policy implementation issues.

As for all EDSP Scholars, the candidates for academic education will be matched against the various criteria of the program, with efforts made to recruit women and the disadvantaged, and all will work in fields in which their advanced training will be applicable to the problems of disadvantaged populations. All successful candidates should be recognized as leaders or potential leaders. However, since the Mission has decided to place special emphasis on graduate training in the long term training component of the EDSP, applicants will be obliged to demonstrate the academic background necessary to permit them to benefit from the training. Since training will last for two years, candidates must also be able to be away for that time and must exhibit an ability to adapt to the living arrangements and conditions imposed by the program.

b. Recruitment Procedures

Normally, as is the case with STT Trainees, most candidates may be recruited through institutional relationships. In the case of the academic programs, a wide net may have to be cast in both public and private institutions in order to generate a large enough pool of applicants, since many who would be eligible for training may not be released from their duties for that period, or may be unable to support their families in the absence of a guarantee that their salaries will continue for the time they are gone. Although the institutional nomination method described for the STT would ideally be applied to the EDSP academic programs as well, it is possible that a general announcement and candidate self-nomination through open competition may be the

best means to recruit these candidates. While middle-level managers might be the group that could best benefit from M.A. training in the U.S., the in-country contractor may find that only younger professionals or recent graduates to be the candidates best suited to the opportunity due to fewer responsibilities of family and work.

c. Selection Procedures and Criteria.

As with other Development Scholars, program guidelines will lead the Selection Committee to give preference to women and the disadvantaged, and all successful applicants must establish a history of leadership roles or otherwise demonstrate leadership ability in a way convincing to the reviewers. Whether recruited through an institutional affiliation or through open competition, candidates will provide a detailed application and the necessary supporting documentation. After review, each promising applicant will be interviewed individually. A summary memorandum which ranks candidates and justifies the ranking will be provided the Advisory Committee, which will make the final selection on the advice of the EDSP Coordinator.

d. Types of Training

The academic training supported by EDSP will be Master's degree programs at U.S. institutions of higher education. The types of training to be provided to a total of 39 persons include the following:

- Five specialists in urban planning will pursue the M.A. in that field, with a special emphasis on practical training;
- Ten graduates in the agricultural sciences who are presently involved in policy implementation or program design and management will study for the M.A. in agricultural management programs;
- Twelve health professionals will seek the M.A. degree in programs relating to health policy formation, data collection and analysis, and program management;
- Twelve graduates in the field of export, trade, and investment will seek the M.A. in business or economics programs, studying the marketing of nontraditional products, finance and banking, and economic policy implementation.

e. Pre-departure Preparation

For academic trainees, the pre-departure orientation will be similar to that provided for short-term trainees. While many of the documentation procedures are the same, academic trainees will also receive intensive or combined semi-intensive and intensive in-country English language training, and will receive information about

college life, the U.S. university system, and academic regulations and procedures in the predeparture orientation.

Predeparture preparation will begin during the screening process, when candidates will be given detailed information about the nature and responsibilities of the scholarship, and expectations will be explored. The nominating institutions will also be provided with similar descriptions of responsibilities and expectations.

f. "Experience America"

The much longer duration of academic training allows these EDSP Scholars to create strong and enduring ties with their American counterparts in the universities they attend. Homestays, American roommates in dormitories, and membership in associations are all possibilities for "Experience America" activities for long term academic students. All academic Trainees will also be able to spend a week at the Washington International Center upon their arrival in the United States and will attend a Mid-winter Community Seminar at Christmas break their first academic year. The U.S. placement contractor should also program specific EA activities related to the program of studies each group will follow, such as the chance to intern with municipal government for the urban planners, or the possibility of observational visits to agricultural cooperatives for the agricultural policy implementers.

g. Follow-on

Academic Trainees will also be invited to be full participants in the EDSP Follow-on program, as members of both technical and regional groups as well as an academic returnee association to be formed under CLASP II. Academic returnees can play a special role in the Follow-on program as they offer their expertise to their STT companions in seminars and workshops. All long term academic participants should be provided with membership in a professional society and a subscription to a professional journal.

IV. FINANCIAL PLAN AND ANALYSIS

A. Project Budget Summary

The Budget and Financial Plan which follows provides an illustrative budget which proposes how USAID/Ecuador grant funds will be expended for the life of the project. The areas of emphasis described in the following implementation plans, as well as the numbers of participants and the distribution of funding outlined in the following tables and in the text, are subject to change based on regular reviews of Mission training priorities. Although changes may be made from the program outlined here, in implementing such changes USAID/Ecuador is committed to meeting all CLASP II targets, including ensuring that at least 40% of EDSP Trainees are women, 70% are disadvantaged, at least 20% will receive long term training, and that 10% of Trainees will receive their training in HBCU's or eligible educational institutions with a high portion of Hispanic students. The detailed basis for calculating Project costs listed below is included in Annex D: TCA Reports for Ecuador Development Scholarship Budgeting (Reserved). The total USAID/Ecuador contribution is US\$6.6 million.

Table IV-1 shows the regional CLASP II program for each participating country. The Mission has reaffirmed its commitment to fund the EDSP at \$6.6 million. Table IV-2 is the Summary Financial Plan for USAID/Ecuador. Table IV-3 breaks down the expected Project disbursements by Fiscal Year. This disbursement schedule contemplates the obligation of \$682,000 in Fiscal Year 1991, \$1,992,711 in Fiscal Year 1992, \$1,684,403 in Fiscal Year 1993, \$1,267,141 in Fiscal Year 1994, and \$973,745 in Fiscal Year 1995.

Table 1. Program Budget Summary

<u>Country</u>	<u>Five Year Budget</u>
Belize	\$ 1,800,000
Bolivia	\$ 3,500,000
Colombia	\$ 3,700,000
Costa Rica (1)	\$ 15,000,000
Dominican Republic	\$ 2,628,000
Ecuador	\$ 6,600,000
El Salvador	\$ 28,500,000
Guatemala	\$ 37,000,000
Haiti	\$ 2,404,000
Honduras (1)	\$ 10,000,000
Jamaica (2)	\$ 5,500,000
Peru	\$ 3,700,000
RDO/C	\$ 5,000,000
AID/W	<u>\$100,000,000</u>
TOTAL	\$225,332,000

1) Costa Rica and Honduras are willing to fund the program at a higher level if more ESF funding is available in future funding years.

2) Jamaica plans to fund the program with \$4.5m from EHR and \$1m from ARD accounts.

Table 2. Country Project Budget Summary by Fiscal Year of Disbursements

COMPONENT	FY 1991		FY 1992		FY 1993		FY 1994		FY 1996		TOTAL	
	Cost	Number	Cost	Number	Cost	Number	Cost	Number	Cost	Number		
Short-Term Technical	\$0	0	\$404,406	50	\$308,818	36	\$470,794	52	\$554,248	58	\$0	\$1,740,266
Long-Term Technical	\$0	0	\$ 0	0	\$0	0	\$273,243	10	\$0		\$0	\$ 273,245
Academic	\$0	0	\$669,691	15	\$1,129,234	24	\$0		\$0		\$0	\$1,798,925
U.S. Administrative	\$23,988		\$274,649		288,111		\$297,927		\$312,769		\$164,204	\$1,361,648
Field Administrative	\$15,693		\$155,269		\$162,767		\$166,400		\$174,667		\$ 75,246	\$ 750,042
Audit/ Evaluations	\$0		\$ 25,000		\$ 75,000		\$ 25,000		\$ 75,000		\$ 25,000	\$ 225,000
Proj. Manager	\$ 3,087		\$ 37,198		\$ 42,405		\$ 48,357		\$ 55,127		\$ 62,826	\$ 249,000
Contingencies			\$ 40,375		\$ 40,375		\$ 40,375		\$ 40,375		\$ 40,376	\$ 201,876
T O T A L	\$42,768		\$1,608,588	65	\$2,046,710	60	\$1,322,096	62	\$1,212,186	58	\$367,652	\$6,600,000

N O T E: This disbursement schedule contemplates the obligation of \$682,000 in FY 1991, \$1,992,711 in FY 1992, \$1,684,403 in FY 1993, \$1,267,141 in FY 1994, and \$973,745 in FY 1995.

Table 3. Detailed Project budgets by Fiscal Year of Disbursements

<u>COMPONENT</u>	<u>FY 1991</u> <u>US\$</u>	<u>FY 1992</u> <u>US\$</u>	<u>FY 1993</u> <u>US\$</u>	<u>FY 1994</u> <u>US\$</u>	<u>FY 1995</u> <u>US\$</u>	<u>FY 1996</u> <u>US\$</u>	<u>T O T A L</u> <u>US\$</u>
Short-Term Technical							
Programming Totals	0	406,406	308,818	470,794	554,248	0	1,740,226
Predeparture		11,424	19,920	22,683	6,612		
Training		344,899	241,552	264,854	474,187		
Experience America		38,323	26,839	29,428	52,687		
Follow-on		11,760	20,507	20,467	20,762		
Long-Term Technical							
Programming Totals	0	0	0	273,243	0	0	273,243
Predeparture				5,072			
Training				238,753			
Experience America				26,528			
Follow-on				2,890			
Academic Training							
Programming Totals	0	669,691	1,129,234	0	0	0	1,798,925
Predeparture		7,245	12,172				
Training		605,035	1,000,520				
Experience America		52,736	111,169				
Follow-on		4,675	5,373				
U.S. Administrative Costs	23,988	274,649	288,111	297,927	312,769	164,204	1,361,648
Field Administrative Costs	15,693	155,269	162,767	166,400	174,667	75,246	750,042
Project Manager	3,087	37,198	42,405	48,357	55,127	62,826	249,000
Audits/Evaluations	0	25,000	75,000	25,000	75,000	25,000	225,000
Contingencies	0	40,375	40,375	40,375	40,375	40,376	201,876
T O T A L	42,768	1,608,588	2,046,710	1,322,096	1,212,186	367,652	6,600,000

While the figures on training costs are here distributed among the programmatic categories of predeparture orientation, Experience America, training and follow-on, they were compiled through the use of the TCA generator, using Training Cost Analysis procedures.

B. Financial Issues

The following financial analysis will review three basic financial issues of the project: the reasonableness of training cost estimates, the issue of host country counterpart contributions, and the financial stability of implementing institutions.

1. Training Costs. The estimates used to develop the training costs for the EDSP program are based on the costs of similar activities which took place in FY 1990 under the APSP, compiled by the CLASP central evaluator, based on average figures assembled by the Office of International Training, and on other historical and benchmark figures provided by the Mission. Allowance rates used were those specified in the current edition of USAID Handbook 10, Allowances. For the purposes of budgeting over the next five years, an inflation factor of 6.5% for educational expenses and 5% for other costs has been used. The specific budget estimates for individual training programs, aggregated in the preceding tables, have been derived through the use of the Training Cost Analysis software, which has become the mandated tool both for budget estimates and for the recording and monitoring of actual budget expenditures.

The Ecuador Mission recognizes the importance of cost containment in the training effort, and will monitor costs using TCA project reports. By this means it is expected that costs can be minimized during implementation of the project through various cost-containment measures taken by the Mission and the placement contractor. Drawing on the experience of other CLASP projects and on its own implementation of the APSP, the Mission expects to realize savings through such procedures as the negotiation of tuition rates, selection of lower-cost training institutions, the use of volunteers, the provision of substantial in-country English language training to minimize the cost of U.S. ELT, and short term courses in Spanish to minimize the time and expense of learning English. Such cost containment measures as providing all training for groups of participants and using volunteers for "Experience America," pre-departure orientation, and other such activities, will contribute to the institutional linkage goals of the program by promoting networking.

2. Country Counterpart. Host country counterpart contributions are not required for the Ecuador Development Scholarship Program because the project will not involve a bilateral agreement with the Government of Ecuador. In addition, projects which are obligated through a contract mechanism to provide participant training services are also not subject to the 25% host country counterpart requirement (reference State 184672, June 1988). In the Ecuador Development Scholarship Program, project funds will be obligated through direct A.I.D. contracts.

3. Financial Management Capability of Implementing Institutions. As just indicated, the Ecuador Mission will require a U.S. contractor to implement the EDSP program. Competitive proposals will be obtained to be reviewed by Mission personnel. The firm with the best value combination: i.e., technical proposal, relative to meeting the financial constraints of the project, will be selected. The RFP will require the competing institutions to present information about their management of participant training costs, and final selection of the winning firm will put a high value on

this factor. Prior to obligating A.I.D. funds, the Mission will exercise due diligence in assuring the financial and management capability of the implementing organization. In addition, the Project contains sufficient funds for the contractor to engage the services of an independent accounting firm to conduct formal annual independent financial compliance audits to assure its appropriate management of project funds. These audits must meet government accounting GAO standards in order to be eligible for U.S. government financing.

C. Methods of Implementation and Financing

<u>Elements</u>	<u>Methods of Implementation</u>	<u>Methods of Financing</u>	<u>Approximate Amount</u>
U.S. training	A.I.D. Direct contract	Letter of Credit	\$3,653,022
Experience America	A.I.D. Direct contract	Letter of Credit	\$ 361,288
Administrative costs			
Local	A.I.D. Direct contract	Letter of Credit	\$ 750,042
U.S.	A.I.D. Direct contract	Letter of Credit	\$1,361,648
Evaluation	To be contracted directly by the counterpart	Letter of Credit	\$ 100,000
Audits	To be contracted directly by the counterpart	Letter of Credit	\$ 125,000
Project Manager	A.I.D. Contracted PSC	A.I.D. Direct Pay.	\$ 249,000

V. IMPLEMENTATION AND EVALUATION PLAN

A. Administrative Arrangements

The Ecuador Development Scholarship Project is a six year effort with all participant selection concluded in the first five years. A mid-project evaluation is planned take place by the end of the second year of implementation. The purpose of the independent evaluation will be to determine what progress has been made towards meeting project goals, to verify and analyze the results of contractor monitoring activities, and to recommend solutions to any implementation problems. The EDSP will be implemented through three complementary administrative units: AID./Washington's Latin America and Caribbean Bureau, specifically the Education

and a U.S. contractor which will also support an in-country office for local recruitment and logistics. The division of responsibility between the three units is as follows:

AID/W Responsibilities. The unique nature of the CLASP II program as a regional endeavor encompassing individual Mission projects requires a continuing role for LAC/DR/EHR in program oversight, evaluation, training and in the orientation of Mission personnel. LAC/DR will be responsible for the following functions:

1. In active collaboration with the Missions, LAC/DR will issue policy guidance and monitor project implementation to ensure compliance with the policy guidance and program objectives. Bureau oversight functions will include review and approval of SIFs, CTPs and CTP updates;
2. Manage a process evaluation, similar to that carried out under CLASP I, to assist both LAC/DR and the field Missions in identifying and resolving implementation problems;
3. Design and implement, jointly with Missions, an impact evaluation;
4. Assist in providing training and orientation to Mission personnel in CIS, TCA, "Experience America", Follow-on, and other project activities;
5. Implement the Congressional earmark projects in close collaboration with the field Missions;
6. Serve as a liaison with Congress, the press, and other outside parties; and
7. Perform standard Bureau backstopping support for Mission CLASP projects.

USAID Responsibilities. USAID/Ecuador will arrange for and monitor the operations of a U.S.-based training contractor, which will also open an in-country office in Quito. The Mission will thus oversee all training-related activities in the U.S. as well as activities of the local office of the contractor. The General Development Office will guide the design of the U.S. training and "Experience America" proposals in conjunction with the U.S. contractor and counterpart institutions, and will coordinate the deliberations of the Advisory Committee. More specifically, the USAID/Ecuador General Development Office will be responsible for:

1. The preparation of the descriptions of EDSP activities within the annual Country Training Plans in order to advise AID/W and the U.S. training contractor of the proposed training activities for the coming year.
2. The preparation of a Request for Proposal to obtain the services of a U.S. contractor which has the capacity both to provide placement and

training services in the U.S. as well as to open an in-country office. The in-country office will cover recruitment, pre-departure orientation, English language training for incoming Trainees, and Follow-on for returned Development Scholars.

3. The oversight of training proposals for each Training Group, including guidance for "Experience America" and Follow-on activities, all of which are to be prepared by the contractor.
4. The oversight of the contractor's placement and monitoring activities in the U.S.
5. The monitoring of the continuing Follow-on program for returned Development Scholars, to be designed and realized by the in-country office of the training contractor
6. The ongoing tracking of costs and expenditures through Training Cost Analysis in order to determine ways to introduce savings into the implementation of the program.

Training Contractor Responsibilities. The Mission will develop a Request for Proposal (RFP) and contract for the services of a U.S. training contractor to coordinate all CLASP II training related to activities in the U.S. This same contractor will also open an office in Ecuador in order to carry out a wide range of in-country activities in support of the Program, as detailed below. In the U.S. component of these activities, the training contractor will be responsible for:

1. Developing detailed training programs for each training group, which includes both the technical and "Experience America" portions of the program. The training programs will be based on the training requests and related background information provided by the Mission.
2. Placing the Trainees in educational or training institutions, negotiating the final Training Implementation Plans with the institutions, acting as a liaison with university admissions offices, and overseeing the implementation of the training programs.
3. Monitoring all EDSP Trainees while they are in the U.S.
4. Providing general information to USAID/Ecuador based on training activity design and implementation which is relevant to future program implementation.
5. Conducting orientation programs for EDSP Trainees when they arrive in the U.S. (complementing those carried out by their Ecuador office) and establishing departure-related programs for them when they are ready to return to Ecuador.

6. Providing direct backstopping services to the Ecuadorian EDSP Trainees, ensuring that their stay in the U.S. is both productive and enjoyable. This implies the institutional capacity to respond quickly to EDSP Trainee requests for assistance in resolving perceived problems that arise in the training programs or in the personal situations of the Trainees.

In its in-country responsibilities in Ecuador, the contractor will be responsible for all in-country administrative tasks necessary to provide and process Ecuadorian participants for AID's Ecuador Development Scholarship Program. This signifies that the in-country office of the contractor will:

1. have primary responsibility for the planning of specific training programs, including the formulation of clear, concise training objectives and course designs and the specification of target groups. These will, when approved, be communicated to the contractor's U.S. home office for inclusion in subsequent training implementation plans and the contractor's requests for proposal distributed to training institutions. This work will be carried out with ample lead time.
2. undertake direct recruitment efforts and the solicitation of candidates from designated public and private institutions which operate in the priority fields specified earlier, through public announcements, as necessary.
3. screen candidates, using the various selection criteria established in the Project as well as in relation to other Mission-defined screening concerns, such as English language capacities (when appropriate) and issues of motivation and attitude.
4. carry out all phases of the predeparture orientation, including advising candidates on documentation and other requirements; arranging and paying for Medical Certifications, passports, and other required documents; providing short term trainees with "survival" English and long term trainees, as required, with the means to study English intensively; conducting exercises in cultural sensitivity and group bonding; arranging for Trainee travel and per diem in Quito for predeparture activities; arrange international travel; and carrying out other related activities which prepare Development Scholars for their U.S. training as required by the Mission. For long-term participants, this also entails assisting Trainees with the fulfillment of admissions requirements, including the elaboration of statements of objectives, application forms, and other documents as required.
5. organize the project-wide Follow-on program for returned Development Scholars. The program will include debriefings for all returned scholars; designing seminars and other ongoing opportunities for networking and information exchange by the regional and technical groups of returnees; assisting each returning group in identifying realistic goals for future

activities, including such possible activities as creating a job bank, producing Follow-on newsletters, and other activities as are developed in the course of implementing the Program. The in-country contractor will also maintain an updated data base on returned participants.

6. keep the EDSP Coordinator informed of all significant developments of which it may become aware in the situation of Trainees, either during their U.S. stays or in the predeparture period.
7. maintain, in the course of returnee debriefings, records of Trainee satisfaction, and conduct selected in-depth interviews and "case studies" (described below) to monitor how the training opportunity has assisted returned participants in their career advancement and strengthened the counterpart institution(s).

B. **Monitoring and Evaluation Plan**

1. Program Monitoring and Evaluation.

Background

Evaluation under the CLASP I project has consisted of an ongoing set of activities carried out by a central contractor under an 8a set-aside. This contractor reports to LAC/DR/EHR and is financed with a combination of CA and LAC regional funds. Some field Missions have conducted their own evaluation activities using independent contractors. Activities have varied according to the needs and interests of each Mission.

Centrally funded CLASP I evaluation activities have covered the following:

- The initiation and maintenance of the CLASP Information System (CIS), a comprehensive data base that provides up-to-date information on each CLASP I Peace Scholar (including age, sex, academic background, socio-economic status, leadership status, urban/rural origin), and the nature of the training program to be undertaken.
- The administration of questionnaires to CLASP trainees immediately prior to their departure from the U.S. and within six months of their return to their country of origin. These questionnaires assess trainee satisfaction with the U.S. training experience, trainee attitudes toward the U.S., their views regarding specific aspects of the training experience, and Follow On.
- Individual country reports that address Mission compliance with CLASP policy guidance as well as adequacy of management and implementation of the CLASP program. Country reports also summarize country-specific data available from the exit and returnee questionnaires.

Data from this ongoing evaluation has been invaluable to the LAC Bureau in its management and oversight of the CLASP program:

- (1) The CIS provides the LAC Bureau with an official and up-to-date tally on status of new trainee starts and on compliance with CLASP policy targets which are used for reporting purposes within and outside of A.I.D.;
- (2) Insights from the country reports have been very helpful to both Missions and AID/W in guiding adjustments to country-specific programs; and
- (3) Finally, and perhaps of most significance, insights gained from the country-specific evaluations have provided a useful base for sharing between Mission experiences gained and lessons learned as A.I.D. enters the sixth year of this highly innovative program.

Specific Nature of CLASP II Evaluation Design

Experience with the evaluation of CLASP I and with evaluation in general has shown that investments in evaluation are worth undertaking when at least two conditions are met:

- There is a genuine interest in and need for the data to be collected (e.g., the originator of the data request faces uncertainty regarding the answer to one or more questions where the answer can only be obtained through investment in an evaluation and/or where conflicting opinions are such that an evaluation study is required to obtain the answer to the question); and
- The results of the evaluation will actually be used to implement programmatic changes (e.g., the user has sufficient authority and leverage to make the changes required).

These two criteria, level of uncertainty/conflict and leverage, will serve as the guiding principles for investment in the CLASP II evaluation. In addition to these basic criteria, additional important considerations were identified in a CLASP II impact evaluation design workshop held May 3-5, 1989 (see Annex F). These other conditions for effective use of the evaluation are as follows:

- The key users of the data (such as AID/W and field Missions) must both take on ownership of the data collected. This means that AID/W and the Missions must be able to guide both the design of the evaluation activities and their implementation;
- The data must be collected and reported on a timely basis: questions and information needs of today must be addressed expeditiously and answers provided while the questions are still relevant and the answers needed;

Reporting of the data must be done in such a way that is easy to read and readily lends itself to use by the originator of the data request;

Both data on "process" (the way in which students are recruited, selected, and oriented and the way in which training is carried out in the U.S.) and data on "impact" (information obtained on the effects of the training program) on the trainees after they have returned home) must be closely linked

The above conditions call for a dynamic and flexible design for the CLASP II evaluation that: provides information on a timely basis, is sensitive to field Mission needs, and provides AID/W with the data that it needs for program accountability.

Listed below are the categories of information needs that will form the basis for the CLASP II evaluation activities:

1. Information that will permit both AID/W and field Missions to track policy compliance under CLASP II and to describe the U.S. training experience.

These data, commonly referred to under CLASP I as "process evaluation" data, include information on all CLASP II trainees collected the CIS plus information from trainees collected in the form of exit questionnaires immediately prior to their departure from the U.S. The sample, both for CIS and for the exit questionnaires, will be comprised of 100% of all CLASP II trainees. To provide continuity between the CLASP I and the CLASP II databases, existing data instruments being used under the CLASP I evaluation will continue to be applied. However, they will be updated and revised to reflect additional and varying CLASP II evaluation needs.,

Data on compliance with CLASP II policy guidelines from the CIS database will be made available to AID/W and field Missions semi-annually.

2. Information that will permit both AID/W and field Missions to assess adequacy of field Mission management and implementation procedures.

Continuing activities initiated under CLASP I, it is anticipated under CLASP II that each Mission will be visited once every two years to assess: adequacy of Mission recruitment, selection, and screening procedures; adequacy of development and specification of individualized training plans; adequacy of pre-departure orientation; adequacy of quality of the U.S training experience (academic/technical training as well as "Experience America"); and adequacy and relevancy of the Follow On program. Reports, to be no more than 15-20 pages in length, will be shared with the individual CLASP Mission whose program is under review. Individual country reports will highlight what each Mission is doing "right" vis-a-vis the management and implementation procedures that might be shared with other CLASP II Missions. Suggestions will also be provided for areas where improvement may be needed.

3. Information that will permit both AID/W and field Missions to assess the effectiveness of individual training programs and to take appropriate actions to apply lessons learned both to the expansion or extension of training programs that are doing well, and the adjustment or termination of programs that are not meeting their objectives.

This category of data addresses what have been referred to under CLASP I as "impact" data. CLASP I impact data-gathering activities have been limited to questionnaires administered approximately six months following the return of trainees to their country of origin and the recent initiation, in Central America, of a series of pilot case studies to explore the feasibility of qualitative data collection methodologies.

Under CLASP II, "impact" evaluation¹ will be adjusted in its adoption of new approaches. Instead of relying completely on the quantitative data gathered in questionnaires administered to all trainees one or more times upon the trainees' return to country, evaluation will consist of a series of studies--some country-specific, some carried out over a sample of CLASP II countries. These studies will utilize qualitative methodologies, combining these with quantitative data-collection methodologies when appropriate. They will be carried out on a "demand" basis; for example, a Mission or AID/W has specific questions for which immediate answers are needed. The studies will be carried out in such a way that (a) the results will be provided in a timely fashion to the originator of the data request; and (b) data from consecutive studies can be compiled, across countries and across studies, to make broader observations on CLASP II outcomes.

An illustrative list of generic questions to be addressed under this aspect of the CLASP II evaluation is provided in Table 1. It is important to stress that these questions are intended only to demonstrate the types of concerns that can be addressed. These will be refined in a collaborative process which will invite field Mission involvement both in identifying the questions to be posed and in guiding the procedures used to collect data to answer these questions. Data will be collected both on CLASP II Trainees and on a select group of CLASP I returnees, both to document the CLASP I experience and to obtain useful insights for the implementation of CLASP II.

Implementation of CLASP II Evaluation Activities

Overall responsibility for the CLASP II evaluation will lie with LAC/DR/EHR. One EHR staff person, responsible for providing oversight as well as liaison with AID/W and field Missions on a full-time basis, will oversee the activities of a central contractor. The contractor, which was selected during the first year of CLASP II (FY 1990), will be

¹ The terms "impact" and "process" are placed in parentheses, since the consensus of expert advice suggests that, while they may be useful for purposes of discussion, they inappropriately distinguish what is in reality a continuum of evaluation activities.

responsible for collecting data required by AID/W for purposes of program monitoring and oversight. The contractor will also be responsible for processing and implementing Mission buy-ins to carry out studies to meet specific Mission information needs.

The contract will be structured in such a way that it can be accessed to design and carry out studies to address specific questions and information needs as they arise during CLASP II implementation. A careful design process, which should be carried out during the first period of CLASP II with active Mission involvement and participation, will result in a conceptual framework that will guide the CLASP II evaluation for the ensuing five years.

The following are anticipated outputs and accomplishments during the first year of the CLASP II evaluation:

1. The revision and updating of both the CIS and exit questionnaires to meet both AID/W and field information needs under CLASP II.
2. The development of a series of "constructs" (e.g., culturally relevant data categories) to guide collection of information on such aspects as "leadership," "career goals," and "knowledge gained about the U.S.," as a result of training experience.
3. A set of basic methodologies to be used both in carrying out AID/W- and field-funded activities that focus on examining the effectiveness of specific training programs.
4. A conceptual framework to guide CLASP II evaluation activities plus an implementation plan for Year Two that includes studies of specific interest to AID/W and Missions that can be carried out within available funding levels.

Table 1. ILLUSTRATIVE LIST OF QUESTIONS FOR CLASP II "IMPACT" EVALUATION

Trainee knowledge of the U.S.

- Has the trainee's knowledge of the U.S. changed in any way since going to the U.S. for training?
- What has been the nature of the changes?
- Which aspects of the CLASP II process (that is, pre-departure orientation, U.S. training, "Experience America", or Follow-On) seem to have contributed to these changes and in what ways?

Career Advancement

- To what extent are CLASP II returnees advancing in their careers (increased status on the job, increased responsibility, promotion in rank, increase in pay, etc.)?
- What aspects of the CLASP II training program seem to have made the most contribution to these advancements?

Leadership

- In what ways have CLASP II returnees' leadership skills been enhanced as a result of their training in the U.S.?
- What are they doing with these skills that they did not do prior to departing for the U.S.?
- What elements of the CLASP II program (pre-departure orientation, U.S. training, Follow-on) seem to have contributed to the improvement of leadership skills?

Effectiveness of Short term Training Programs

- Are there any specific types of short term training programs common to a number of Missions that seem to be more effective than others in enhancing career mobility and leadership skills and that should be recommended for broader application?
- What are the characteristics of these training programs?
- Are there any specific types of short term training programs common to a number of Missions that seem not to be effective in enhancing career advancement or leadership skills?

Effectiveness of Long term Training Programs

- What types of long term training programs seem to be the most effective in terms of promoting career advancement and enhancing leadership skills (e.g., two-year undergraduate, four-year undergraduate, junior year abroad, Master's degree training)?
- Under what circumstances are these programs best carried out and how should they be designed so as to assure maximum impact?
- What elements of the CLASP II experience seem to have contributed most to them?

2. Mission Monitoring and Evaluation.

Through the EDSP, USAID/Ecuador hopes to expand and improve Ecuador's human resource base. The program is designed not only to provide participants with improved technical and leadership skills, but to strengthen critically important Ecuadorian institutions.

The EDSP requires monitoring and evaluation efforts which are closely related to this goal, and which provide information in a timely fashion. To that end, the contractor will monitor and maintain records of trainee satisfaction with all aspects of their training programs. This monitoring will take the form of debriefings and in depth interviews with selected returned participants. The contractor will also be required to conduct and maintain records of "case studies" of selected participants and their institutions. A case study will consist of a series of interviews with the participants and their institutional colleagues and supervisors. The purpose of this interview will be to determine how the training opportunity has assisted the returned participant in his or her career and how the training opportunity has improved and strengthened the counterpart institution(s). The information gathered through the debriefings, interviews, and "case studies" will be used by the Mission to assist the contractor in refining participant training activities, to guide the Advisory Committee in the selection of counterpart institution(s), and to determine under what conditions returned participants can utilize their new skills to the benefit of their institution(s).

A mid-term evaluation will provide independent confirmation of the results of the contractor-based monitoring activities. Funds are included in the project to provide for evaluation services.

C. **Contracting Plan**

USAID/Ecuador will contract for the services of a U.S. institutional contractor through open competition. This contractor will place students in training institutions and universities; manage the U.S. support for training and "Experience America" while EDSP Scholars are in the U.S.; and will also open an office in Ecuador which will coordinate recruitment, screening, selection, training program development, and predeparture orientation for Development Scholars, as well as operate the Follow-on program for EDSP returnees. The Mission-managed contract should provide continuity and integration of all project phases from recruitment through follow-on.

D. **Audit**

Audits will be contracted with an independent U.S. affiliated public accounting firm with experience in government accounting GAO Standards for audit. All audits performed of AID - financed activities must meet these requirements in order to be eligible for U.S. government financing. The mid-project evaluation and other evaluation activities will be contracted through the AID/W central evaluation contractor through a buy-in arrangement or through another evaluating firm.

D. Implementation Schedule

The following is a proposed schedule of activities throughout the life of the Project:

<u>Date</u>	<u>Activity</u>
<u>FY 1991</u>	
February 1991	- Project Paper approved
March 1991	- Completion of Request for Proposal (RFP)
April 1991	- Issuance of RFP
Sept 1991	- Selection of contractor for U.S. and in-country training support
<u>FY 1992</u>	
February 1992	- Departure of 14 Agricultural Producer Association Leaders
<u>FY 1992 (continued)</u>	
April 1992	- Departure of 18 Nutritionists
June 1992	- Departure of 10 L-T Agricultural Policy Implementers
June 1992	- Departure of 5 Urban Planners
September 1992	- Departure of 14 Non-traditional Industrial Producer association leaders
<u>FY 1993</u>	
February 1993	- Departure of 18 Mayors and Municipal Government Leaders
April 1993	- Departure of 18 Rural Women Leaders
June 1993	- Departure of 12 Export/Trade/Investment Policy Implementers
June 1993	- Departure of 12 Health Policy Implementers
September 1993	- Mid-project Impact Evaluation

FY 1994

- October 1993 - Departure of 18 Grass Roots Community Leaders
- February 1994 - Departure of 13 Indigenous and "Cabildo" Leaders
- June 1994 - Departure of 16 Women administrators
- Sept 1994 - Departure of 10 Agricultural High School Teachers

FY 1995

- October 1994 - Departure of 14 Young Political Leaders
- February 1995 - Departure of 12 Human Rights Leaders and/or Election Officials
- April 1995 - Departure of 18 Health Promoters
- Sept 1995 - Departure of 16 Non-traditional Production and Export Sector Leaders

VI. SUMMARY OF PROJECT ANALYSES

A. Social/Institutional Analysis

A Social/Institutional Analysis (SIF) is required by the regional CLASP II program to be carried out in each participating country prior to preparing the Project Paper. The Ecuador SIF, which was completed in December, 1990, describes the current socioeconomic realities of Ecuador in order to focus on the different kinds of actual and potential leaders to be found in different institutional spheres, both in formal and informal settings. This was done in order to identify the specific sectors and groups from the lower and middle sectors of Ecuadorian society who will most benefit from EDSP training.

Specifically, the SIF is designed to:

1. Focus training on key sectors and institutions that are influential in shaping action and opinion, with an emphasis on the socially and economically disadvantaged;
2. Propose a methodology and indicators for identifying leaders and potential leaders within those sectors; and
3. Determine the appropriate type of training for each group.

The SIF also reviewed the experiences and lessons from the Andean Peace Scholarship Program (CLASP I) as it was carried out in Ecuador.

1. Study objectives and Methodology

The methodology adopted for the SIF by its authors, a North American specialist in development, a North American education economist, and an Ecuadorian anthropologist, was based on guidance from LAC, document analysis, and extensive interviews with Mission personnel. In terms of documents consulted, the researchers drew on sector assessments, strategy papers, the Mission Action Plan, and the Country Development Strategy Statement. Mission personnel consulted included the principal advisors in the technical offices. The authors then interviewed a broad range of key informants in Quito, Guayaquil, and Cuenca. Such interviews included returned Andean Peace Scholars.

Their analysis followed the following stages:

- (1) identification of primary sectors of interest to CLASP II implementers
- (2) identification of key institutions and groups of leaders within these sectors and the elaboration of criteria to select key groups within each of these sectors;
- (3) preparation of a CLASP II training plan, including major themes and possible programs for leader groups from the priority sectors; and
- (4) identification of methodologies for recruiting and selecting leaders for the program.

Formulation of the SIF required information and analysis with respect to five topics: (1) the adequacy of past programs; (2) policy priorities, that is, decisions about which sectors in which investments should be made; (3) candidate selection procedures; (4) definitions of major concepts related to the program; and (5) the elaboration of potential programs for specific target groups.

Priority sectors were chosen as being consistent with overall Mission objectives in Ecuador as articulated in the Country Development Strategy Statement; the sectors selected also take into account current patterns of investment both by the Mission, the Government of Ecuador, and other international donors. Furthermore, the priority areas chosen were seen to reinforce each other mutually.

2. Definitions.

Guidance for the CLASP II program requires that all participants be leaders or potential leaders. It further stipulates that 70% of the Trainees be selected from groups that are economically or socially disadvantaged. Finally, the program policy proposes that members of "elite" classes not be granted scholarships under this program. Each Mission must therefore develop through the mechanism of the SIF the "country specific" definitions for these terms, which can then be applied in the process of implementing the program.

The Ecuador SIF undertook a detailed examination of leadership in Ecuador in the process of defining that term. The authors determined that leadership refers both to formal, positional social roles and to more informal forms of leadership which opinion makers such as journalists or university professors may play. The SIF then undertakes an institutional review of the kinds of leadership roles that are to be found in Ecuador, summarized in its Matrix One (presented here as Annex C - SIF Matrix One: Leadership in Ecuador by Sector). The leadership sectors examined were those of the five priority areas selected for the Program as a whole: (a) government and institutions related to the democratic process; (b) institutions relating to urban growth management; (c) maternal and child health and family planning; (d) agriculture and natural resources; and (e) export, trade, and investment. On the basis of these analyses, definitions of "leader" and "potential leader" relevant to the Ecuadorian reality were developed, reported in this Project Paper above in Section III.C.1.h., "Project Definitions."

The definitions of *economically, socially, and ethnically disadvantaged*, as well as that of *elite* were formulated by referring to the current socioeconomic realities of Ecuador and to the particular historical relationships among social groups. Income levels and the cost of living entered into the inquiry, as well as a consideration of rural/urban differences. The results of this analysis are reported in this Project Paper in the same place, in Section III.C.1.h., "Project Definitions."

3. Target Groups.

Matrix One permits a comparison of leadership roles of the five priority sectors in USAID/Ecuador's strategic plan. These are also seen as areas which can contribute most to improving the economic and social conditions of people of the lowest income levels. The target groups within those priority areas are then formulated in terms of the perceived development needs of Ecuador, while at the same time orienting group selection to the criteria which orient the CLASP II program. Primary target groups, therefore, are those of middle and low income but which can be expected have, within the priority areas, the greatest multiplier effect. In most cases, the target groups are also those in which women leaders can be expected to be encountered.

The five training themes and the groups selected are described above in Section II.B., "Mission Training Strategy," and the expansion of suggested training proposals (subject to Mission adjustment). In each case, the SIF establishes that the target groups will be able to benefit from technical training in their areas of specialization, while at the same time being in positions to communicate their technical training to colleagues or fellow community members on their return. The leadership training that will be a continuing theme of CLASP II training also should enable the Trainees of the target groups to extend their influence among the groups over which they have already been identified to be leaders.

These conclusions must take into account what the SIF identifies as certain potential difficulties in ensuring the effectiveness of leadership training among the target groups, namely, that those groups which are socially or economically

disadvantaged are by definition less powerful in the breadth of their social impact than those of more affluent sectors of the population which have had educational opportunities and social support denied the target groups. This potential limit to the effectiveness of the program, a result of the decision to provide training to disadvantaged groups which normally never have such possibilities, can be tempered by focusing training on those who work in institutions, in spite of their disadvantaged social or economic status, which in turn deliver services or provide employment to disadvantaged segments of society. This emphasis on institutional strengthening and on community involvement has been built into most of the training groups selected.

The importance of focusing on leaders within the designated target groups is emphasized in the SIF, which suggests several criteria for their identification: (1) their degree of activism in the development of their sectors; (2) their capacity to exhibit a multiplier effect in their contact with others; (3) the degree to which they meet Program criteria; (4) exercising different types of leadership; and (5) belonging to institutions which exhibit high sustainability levels.

An additional focus which the Ecuador Development Scholarship Program will adopt is in support of strengthening of what observers see as a relatively weak institutional base in Ecuador. Four of the five long term groups scheduled for training are related to graduate training at the M.A. level in management skills. The goal of this training in the fields of health, agriculture and natural resource management, urban growth management, and in export, trade, and investment, is to train several cohorts from low- and middle-income backgrounds in program implementation and policy analysis in their respective fields. The target groups in this case will necessarily be university graduates, who will have at least some practical work experience before their recruitment. Ideally, the candidates will come from institutions which will take part in some aspect of the formulation of the training program, and will then be able to return to those institutions after completing their degrees.

In both short term and long term training, the specific training programs and target groups identified are illustrative. As previously discussed, the Mission retains the prerogative to redefine priority areas in coming years or to select other groups of leaders than those specified in this Project Paper.

Implementation. The SIF has developed extensive guidance for the recruitment and programming of the Development Scholars. Combining their interviews with returned Trainees and their discussions with sector specialists, the authors provide a range of suggestions to improve the implementation of the EDSP.

The specific training proposals are oriented towards younger leaders (under forty) with previous work experience and who currently employed in the training theme area. Their training will be designed to enhance their existing leadership qualities and to assist them in their career development. The SIF focuses on these "intermediary" leaders, such as health promoters, leaders of producers' associations, or young political leaders.

For both short term and long term training, the EDSP expects to recruit the great majority of the Development Scholars through counterpart institutions and other organizations working in the field of the training theme. This will require that the in-country contractor identify the institutions which work with the poorest strata of Ecuadorian society, both public and private (but with an emphasis on the latter), and create links with them. The Mission technical divisions, which have considerable experience with the many institutions working in rural and poor urban areas, will be valuable informants in this effort. The Ecuadorian members of the various *ad hoc* committees created to advance the development of training programs will also be able to provide many suggestions of institutions for the recruitment of Development Scholars.

The SIF also makes specific recommendations on the content of the technical training program, on specific "Experience America" activities, and on Follow-on possibilities for each potential training group.

The selection of training groups and of counterpart institutions for each year of implementation will be confirmed or reformulated by the EDSP Advisory Committee. Once the annual plan is established, the EDSP in-country contractor, with USAID/Ecuador oversight, will assemble the *ad hoc* committees of AID personnel and, whenever possible, of Ecuadorian "expert advisers" that will further the development of the training plans, in terms of course content, candidate profile, and training objectives. Candidates will be sought from the counterpart institutions and may also be sought from other institutions working in the field of the training proposal. Candidates will be screened by the in-country contractor, and recommendations will be made to a subcommittee of the Advisory Committee for final selection.

B. Administrative

The greatest share of the administrative burden of the Ecuador Development Scholarship Program will be shouldered by the contractor, both in terms of in-country administrative tasks and U.S. placement activities. The specifics of those responsibilities have been sketched in Section V.A. above, "Administrative Arrangements" of the Implementation and Evaluation Plan. USAID/Ecuador will set the overall policy and direction of the program, and will supervise and monitor the activities of the contractor, both in its in-country role and in its U.S. role.

C. Economic

Economic analysis of participant training projects is difficult because the output--improved education and skills--is difficult to measure in economic terms. Both AID Handbook 3 and the AID Manual for Project Economic Analysis recommend against the use of cost-benefit analysis for these types of projects because of the difficulty of reliably quantifying the benefits of training.

The most appropriate and relevant means of assessing the economic feasibility of training projects is cost effectiveness analysis. The key concept of the cost effectiveness approach is that the analytical focus is on accomplishing the objectives rather than the total amount of the costs per se. The purpose of the analysis is to identify the least cost (or most efficient) means of achieving those objectives. In other words, while the project should not cost more than necessary to be successful, neither should the objectives be sacrificed to reduce costs.

The CLASP program introduces complexities in the analysis that limit valid analysis to the country and training group level rather than the project or program level. First, the objectives of the program require that all training take place in the U.S., which eliminates the possibility of lower cost alternatives. Equally importantly, the diversity in the program in terms of technical fields and length and nature of training make "effectiveness" and "efficiency" very difficult to define on a program level. The most obvious measure of efficiency would be numbers of people trained per dollar spent, but the range of short term and long term participants in the program makes this meaningless. The other possible means of measuring effectiveness is to compare the eventual social and economic impact of different fields and types of training. However, there are no data available that would measure the relative economic benefit of, for example, six-week technical programs in basic health care, eight-month technical programs in restaurant management, and two year academic programs in machine tools. Therefore, the only appropriate level of cost-effectiveness analysis is on the country and training group level.

On the program level, the appropriate approach is to assure that cost effectiveness considerations are integrated into the design and implementation of the project. Two mechanisms for incorporating these considerations are included in the design. The first mechanism is the establishment of objectives and criteria for acceptable training programs--that the training be appropriate for the participant and that it substantively contribute to the participant's career and leadership development. While the data still lacks the rigor of scientifically significant results, these criteria offer the subjective advantage of requiring training personnel to review and justify the training in these terms.

The second, and more concrete, contribution to cost-effectiveness is the institutionalization of cost containment measures in the project. Cost containment is applied to specific training groups and contracts, so the alternatives available are more subject to analysis and comparison. For example, the alternatives of in-country and U.S. based English language training (or a combination thereof) or other preparatory training can be analyzed in relatively straightforward terms because the results (TOEFL scores) and costs are easy to measure. Similarly, the choice between equally proficient technical schools with different tuition rates is equally straightforward. In addition, the use of TCA to compare and monitor contract costs on a line item basis substantially improves the competitiveness of proposals and the Mission's ability to control costs. This systematic review of alternatives on a cost basis is the single most effective means of assuring that the project is cost effective.

As the preceding discussion has shown, a definitive judgement of the cost-effectiveness of the CLASP program cannot be made in advance. The cost effectiveness of the project is in the details of implementation rather than the design. Rather, the judgement can be made that adequate measures have been built into the project to maximize the cost effectiveness of the project by emphasizing the training objectives and institutionalizing the use of cost containment approaches.

D. Technical

The primary technical issues of participant training concern those factors in the design and implementation of the program which experience has shown to be important in creating successful training programs. A.I.D. and its predecessor agencies have provided scholarships to over 250,000 foreign nationals since 1949 and the collective experience has been reviewed in many evaluations and audits in that period.

The evaluations of participant training programs have focused almost exclusively on the operational issues of planning, design, and implementation rather than on larger questions of impact and usefulness of training. Therefore, the technical analysis will also concentrate in these areas. A few evaluation findings have consistently and repeatedly been reported in every region and type of training program. Three key findings deal with procedures for selecting participants and planning the training program, pre-departure orientation, and post-program follow-on activities in the home country. All of these factors discussed below, are incorporated into the Project design and will be implemented in the country training plans and activities.

1. Procedures for selecting participants and planning the training program.

The success of the program eventually rests on the ability and willingness of the participants to adequately learn the desired skills (or to graduate) and to use the training productively after returning home. Therefore, it is not surprising that careful selection of the participants is crucial. Many people would like to have scholarships to the U.S.- some will be better prepared than others, more dedicated to their profession, or more in tune with the goals of the project. Selection procedures should therefore be organized to identify promising individuals by encouraging the active participation of community groups, managers and supervisors (for those who are employed), and other people with a direct interest in the eventual use of the training. Standard criteria should be established and used in assessing the candidates.

Beyond selecting promising individuals, the adequacy of the training program in assessing the professional or training needs of the individual (or group) and eventual placement in an appropriate training program is essential. Therefore, program planning cannot be done in isolation, but rather should include the active involvement of the participant, his/her supervisors or managers, and community representatives (if appropriate). Because these individuals are in the best position to determine the types of skills needed and how they will be used after return to the home country, many potential problems can be avoided at this stage, when it is least difficult and

costly to make changes. In addition to improving the training activities, this broad participation of interested parties in the planning stage will help assure that A.I.D., the participant, and the employer or sponsor have similar expectations of what the training program is intended to achieve. Different expectations of the program has been a common complaint in many unsuccessful training programs. As part of this cooperative program planning process, explicit plans for using the training after return should be formulated at this stage.

The adequate development of a training request is a key step in assuring a high quality training program. The training request must include all relevant data about the participant which will be needed by the training institution and trainers to orient the program to the participants needs and expectations. While this would seem to be an obvious statement, the transmission of adequate information has been a recurring problem in many training programs. Therefore, all Missions will emphasize the importance of proper planning to the contract and FSN project managers. Of course, the level of effort needed to assure adequate planning will vary considerably with the type of program. Attendance at a conference or seminar will require relatively little time and effort to arrange, while a customized 9-month training program will require substantial information, time and effort.

Training groups of people with related backgrounds and skills is attractive in terms of both administrative convenience and cost savings. However, group training must be carefully planned in order to meet the needs of all of the participants. One of the most important aspects of group training is assuring that composition of the group is largely homogeneous in terms of background, professional knowledge, and position. A common problem is that groups are composed of people who are all individually eligible for the training but who have highly diverse backgrounds and training needs. This presents a significant, sometimes insurmountable, problem to training institutions in designing an appropriate training plan. The difficulty of meeting the participants' training needs in such a group is also significantly increased by lack of timely and complete information about the composition of the group. The importance of putting together a compatible and technically or professionally homogeneous group cannot be overemphasized.

2. Pre-departure orientation. In programs which involve travel and training in third countries or in the U.S., orientation to the training program, training language, travel plans, and cultural differences are very important. While many of these activities can be expensive and labor intensive, they are a factor in the success or failure of any training program. Discomfort and confusion inhibits the learning process and creates an adverse impression of the U.S., thus reducing the degree of skill acquisition and negating one of the major side benefits of U.S. training--increasing understanding and relations between the U.S. and citizens of other countries. Inadequate language skills clearly limit skill and knowledge acquisition.

3. Follow-on. An important finding over many years has been that some continuing activities are needed with returned participants to assure that they are able to effectively apply the training received. The relatively low additional cost of establishing job banks, employment networks, alumni associations, annual seminars to maintain or upgrade skills, or community project funds to provide seed money for initiatives can ensure that participants maximize the potential to utilize the training received in the U.S. This type of follow-on program has not been widely implemented and successful examples are still rare. However, the need for such programs is clear-- it is the single most common evaluation finding of the past 40 years.

VII. ANNEXES

Annex A: Logical Framework of the CLASP II Project

LOGICAL FRAMEWORK
 ECUADOR DEVELOPMENT SCHOLARSHIP PROGRAM (EDSP)
 CARIBBEAN AND LATIN AMERICA SCHOLARSHIP PROGRAM (CLASP)
 (598-0661, 597-0044, 518-0091)

<u>Narrative Summary</u>	<u>Objectively Verifiable Indicators</u>	<u>Means of Verification</u>	<u>Assumptions</u>
<p><u>Program Goal</u></p> <p>To promote broad-based economic and social development in the LAC countries.</p>	<p>Increased per-capita income. Increased consumption and income in poorest 50% of society.</p>	<p>National economic statistics. Program evaluation.</p>	<p>Functioning democracies and free market economies will result in long term stability and economic growth.</p> <p>Other National and international economic assistance programs continue at present levels.</p> <p>Disruptive outside forces do not intensify destabilizing efforts.</p>
<p><u>Project Goal:</u></p> <p>To encourage and strengthen democratic pluralism and free enterprise market economies in LAC countries.</p>	<p>Greater participation in economic and social progress by poorer and disadvantaged groups in society.</p>	<p>Project Evaluation National statistics</p>	<p>Leadership and skills training for middle and lower socio-economic classes will strengthen participation of these groups in economic and political progress.</p> <p>Active economic and political participation by targeted groups will strengthen societal commitment to pluralism and free enterprise.</p> <p>Participant selection procedures successfully identify current and potential leaders.</p> <p>The scholarship program advances the careers and influence of the participants.</p>

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Program Purpose

To equip a broad base of leaders in LAC countries with specialized skills, training, and academic education and an appreciation and understanding of the workings of democratic processes in a free enterprise economy.

Returned participants are employed in their areas of expertise and are applying the skills learned in the U.S.

Returned participants are active and influential in community or professional affairs.

Participants have benefitted from the program in terms of either finding a job or having increased responsibility or salary in an existing one.

Participants have maintained some linkage with the U.S. after return home.

Process Evaluation
Impact Evaluation
Project Reports.
Evaluation questionnaires and interviews.

Long-term case studies designed to assess the impact of training on the returned participants and their sponsoring instructions.

Involvement of returned participants in regional and technical alumni associations and other follow-up activities.
Receipt of follow-up reinforcement training via seminars, workshops, etc.

The nature and length of training and Experience America has significant impact on attitudes and skill levels.

Training program facilitates career advancement of participants.

Association with the U.S. does not impede leadership status in community.

Democracy values can be transferred through training programs and exposure to US.

Missions are successful in selecting leaders and potential leaders and in developing appropriate training programs for them.

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Mission Project OUTPUTS

1. Program Requirements

1a. Project is consistent with program guidelines

1a. At least 70% of participants are from disadvantaged backgrounds
1b. All participants meet mission criteria for leadership potential.
1c At least 20% of programs last 9 months or longer
1d. At least 10% of all participants are placed in HBCU institutions
1e. At least 40% of the participants are women.

Project records.

Selection procedures are instituted and followed.

Appropriate candidates can be found.

Project process evaluation.

Process evaluation.

2. Participant selection and recruitment procedures identify leaders and potential leaders.

2. Mission strategy and procedures established and functioning.

3. All participants given adequate pre-departure preparation in language, skills, and remedial academic preparation.

3. Interviews indicate that participants are well prepared for program.

4. All programs and contracts use TCA methodology and use cost-containment approach.

4. TCA used for all contract and reporting. Program costs held to reasonable levels consistent with program quality.

5. Training plans are prepared adequately in advance and customized for needs of individuals or groups.

5. Training plans are submitted 6 months in advance for LT training and 3 months in advance for ST training.

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Outputs (contd)

6. All programs include integrated Experience America program.

6. Experience America strategy and program articulated in the mission and integrated into customized training plans.

Project records
Process evaluation

• 7. Returned participants needs met by customized follow-on program

Every participant has appropriate EA programs.

7. Mission follow-on program strategy clearly articulated and implemented.

All returned participants are included in follow-on activities

II. Project Outputs (completed by mission)

1. Short-term technical training

1. At least 196 people are trained in the identified priority fields.

Project Records

2. Long-term Technical training is completed consistent with the CTP.

2. At least 10 people are trained in the identified priority fields

Project Records

3. Academic Education programs are completed.

3. At least 39 people receive M.A. or M.S. degrees in the identified priority fields.

Project Records

INPUTS

Scholarships
Technical Assistance

Annex B: Statutory Checklist

3M(2) – PROJECT CHECKLIST

Listed below are statutory criteria applicable to projects. This section is divided into two parts. Part A includes criteria applicable to all projects. Part B applies to projects funded from specific sources only: B(1) applies to all projects funded with Development Assistance; B(2) applies to all projects funded with Development Assistance loans; and B(3) applies to projects funded from ESF.

A. GENERAL CRITERIA FOR PROJECT

1. FY 1990 Appropriations Act Sec. 523; FAA Sec. 634A. If money is to be obligated for an activity not previously justified to Congress, or for an amount in excess of amount previously justified to Congress, has Congress been properly notified?

N/A

2. FAA Sec. 611(a). Prior to an obligation in excess of \$500,000, will there be: (a) engineering, financial or 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 legislative action is required within recipient country with respect to an obligation in excess of \$500,000, what is the basis for a reasonable expectation that such action will be completed in time to permit orderly accomplishment of the purpose of the assistance?

N/A

4. FAA Sec. 611(b); FY 1990 Appropriations Act Sec. 501. If project is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U.S.C. 1962, et seq.)? (See A.I.D. Handbook 3 for guidelines.)

N/A

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

N/A

6. FAA Sec. 209. Is project susceptible to 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.

YES. PROJECTED COSTS SAVINGS SUGGEST SINGLE-COUNTRY IMPLEMENTATION.

7. FAA Sec. 601(a). Information and conclusions on whether projects will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, 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.

N/A

8. FAA Sec. 601(b). Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

THE PROJECT WILL EXPOSE ECUADORIAN LEADERS IN THE POLITICAL/ECONOMIC ENVIRONMENT OF THE U.S., THIS POTENTIALLY FOSTERING INCREASED COMMERCIAL CONTACTS BETWEEN THE TWO COUNTRIES. ALSO, THE PROJECT WILL UTILIZE THE SERVICES OF AN AMERICAN PRIVATE COMPANY TO HELP IMPLEMENT THE PROJECT.

9. FAA Secs. 612(b), 636(h). 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 in lieu of dollars.

N/A

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?

NO

11. FY 1990 Appropriations Act Sec. 521. 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

12. FY 1990 Appropriations Act Sec. 547. Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff Schedule "Section 807," which allows reduced tariffs on articles assembled abroad from

U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel?

NO

13. FAA Sec. 119(g)(4)-(6) & (10). Will the assistance: (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas?

(a) YES

(b) NO

(c) NO

(d) NO

14. FAA Sec. 121(d). If a Sahel project, has a determination been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of project funds (either dollars or local currency generated therefrom)?

N/A

15. FY 1990 Appropriations Act, Title II, under heading "Agency for International Development". If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government?

N/A

16. FY 1990 Appropriations Act Sec. 537. If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of AID, and is the PVO registered with AID?

N/A

17. FY 1990 Appropriations Act Sec. 514. If funds are being obligated under an appropriation account to which they were not appropriated, has the President consulted with and provided a written justification to the House and

Senate Appropriations Committees and has such obligation been subject to regular notification procedures?

N/A

18. State Authorization Sec. 139 (as interpreted by conference report). Has confirmation of the date of signing of the project agreement, including the amount involved, been cabled to State L/T and AID LEG within 60 days of the agreement's entry into force with respect to the United States, and has the full text of the agreement been pouched to those same offices? (See Handbook 3, Appendix 6G for agreements covered by this provision).

THIS AGREEMENT/GRANT IS NOT COVERED BY APPENDIX 6G.

19. Trade Act Sec. 5164 (as interpreted by conference report), amending Metric Conversion Act of 1975 Sec. 2 (and as implemented through AID policy). Does the assistance activity use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will AID specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

N/A

20. FY 1989 Foreign Assistance Appropriations Act, Women in Development (as interpreted by conference report). Does the project seek to ensure that the percentage of women participants and beneficiaries will be in approximate proportion to their traditional participation in the targeted activity or their proportion in the population, whichever is greater?

YES

21. FY 1990 Appropriations Act Sec. 592(a). If assistance is furnished to a foreign government under arrangements which result in the generation of local currencies, has AID (a) required that local currencies be deposited in a separate account established by the recipient government, (b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of AID and that government to monitor and account for deposits into the disbursements from the separate account?

N/A

Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government?

Has AID taken all appropriate steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes?

If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government?

B. FUNDING CRITERIA FOR PROJECT

1. Development Assistance Project Criteria

a. FY 1990 Appropriations Act Sec. 546 (as interpreted by conference report for original enactment). If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities: (1) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U.S. exporters of a similar agricultural commodity; or (2) in support of research that is intended primarily to benefit U.S. producers?

N/A

b. FAA Sec. 107. Is special emphasis placed on use of appropriate technology (defined as relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?

N/A

c. FAA Sec. 281(b). Describe extent to which the activity 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 civic education and training in skills required for effective participation in governmental and political processes essential to self-government.

THE PROJECT SUPPORTS THE SOCIO-ECONOMIC DEVELOPMENT OF ECUADOR AND STRENGTHENS DEMOCRATIC INITIATIVES AND INSTITUTIONS IN THE COUNTRY.

d. FAA Sec. 101(a). 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

e. FAA Secs. 102(b), 111, 113, 281(a). Describe extent to which activity will: (1) effectively involve the poor in development by extending access to economy at (1) local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment 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 appropriate U.S. institutions; (2) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward a better life, and otherwise encourage democratic private and local governmental institutions; (3) support the self-help efforts of developing countries; (4) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (5) utilize and encourage regional cooperation by developing countries.

THE PROJECT WILL SUPPORT THE SELF-HELP EFFORTS OF ECUADOR BY (1) PROVIDING TRAINEES WITH TECHNICAL AND LEADERSHIP TRAINING WHICH WILL ENABLE THEM TO BETTER DIRECT THEIR COMMUNITIES' AND INSTITUTIONS' EFFORTS TO IMPROVE THEIR SOCIAL AND ECONOMIC CONDITIONS; (2) TARGETING A BROAD BASE OF PARTICIPANTS, AT LEAST 70% OF WHOM WILL BE DISADVANTAGED, THUS EQUIPING A WIDER SPECTRUM OF ECUADORIAN SOCIETY WITH SELF-HELP SKILLS; (3) HELPING TO STRENGTHEN KEY ECUADORIAN INSTITUTIONS, ESPECIALLY THOSE WHICH HAVE AN IMPACT ON DISADVANTAGED SECTORS OF THE POPULATION; AND (4) IMPLEMENTING FOLLOW-UP ACTIVITIES DESIGNED TO PROMOTE NETWORKING AMONG RETURNED PARTICIPANTS AND TO FOSTER PARTICIPANT-LED INITIATIVES TO IMPLEMENT DEVELOPMENTAL ACTIVITIES AND PROJECTS IN THEIR REGIONS. THE EDSP WILL HELP TO PROMOTE THE PARTICIPATION OF WOMEN IN THE ECONOMY, AND TO IMPROVE THE STATUS OF WOMEN BY ENSURING THAT AT LEAST 40% OF EDSP PARTICIPANTS ARE WOMEN.

f. FAA Secs. 103, 103A, 104, 105, 106, 120-21; FY 1990 Appropriations Act, Title II, under heading "Sub-Saharan Africa, DA." Does the project fit the criteria for the source of funds (functional account) being used?

YES

g. FY 1990 Appropriations Act, Title II, under heading "Sub-Saharan Africa, DA." Have local currencies generated by the sale of imports or foreign exchange by the government of a country in Sub-Saharan Africa from funds appropriated under Sub-Saharan Africa, DA been deposited in a special account established by that government, and are these local currencies available only for use, in accordance with an agreement with the United States, for development activities which are consistent with the policy directions of Section 102 of the FAA and for necessary administrative requirements of the U.S. Government?

N/A

h. FAA Sec. 107. Is emphasis placed on use of appropriate technology (relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?

N/A

i. FAA Secs. 110, 124(d). Will the recipient country provide at least 25 percent of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or is the latter cost-sharing requirements being waived for a "relatively least developed" country)?

N/A

j. FAA Sec. 128(b). If the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, has it been designed and will it be monitored to ensure that the ultimate beneficiaries are the poor majority?

YES

k. 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 processes essential to self-government. **THE EDSP IS DESIGNED TO BE COMPLEMENTARY TO AND SUPPORTIVE OF USAID/ECUADOR'S COUNTRY DEVELOPMENT STRATEGY, AND TO STRENGTHEN LEADERSHIP POSITION IN KEY ECUADORIAN INSTITUTIONS AND SECTORS. ECUADORIAN COUNTERPART INSTITUTIONS WILL PARTICIPATE IN THE AD HOC PROGRAM DESIGN COMMITTEES THAT WILL BE RESPONSIBLE FOR IDENTIFYING TRAINING NEEDS. "GOVERNMENT/DEMOCRATIC INITIATIVES" HAS BEEN ESTABLISHED AS A PRIORITY AREA, UNDER WHICH TRAINING WILL BE PROVIDED TO INDIVIDUALS DIRECTLY INVOLVED IN GOVERNMENT**

POLITICAL COMMUNITY-BASED ACTIVITIES. EACH TRAINING PROGRAM WILL INCLUDE AN "EXPERIENCE AMERICA" COMPONENT DESIGNED TO EXPOSE TRAINEES TO AMERICAN VALUES IN GENERAL, AND TO PARTICIPATORY DEMOCRATIC PROCESSES, IN PARTICULAR.

l. FY 1990 Appropriations Act, under heading "Population, DA," and Sec. 535. Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions?

NO

Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations?

NO

Are any of the funds to be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization?

NO

Will funds be made available only to voluntary family planning projects which offer, either directly or through referral to, or information about access to, a broad range of family planning methods and services?

N/A

In awarding grants for natural family planning, will any applicant be discriminated against because of such applicant's religious or conscientious commitment to offer only natural family planning?

N/A

Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning?

NO

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

YES

n. FY 1990 Appropriations Act Sec. 579. What portion of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, colleges and universities

having a student body in which more than 40 percent of the students are Hispanic Americans, and private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?

10% OF THE PARTICIPANTS WILL ATTEND HBCUS.

o. FAA Sec. 118(c). Does the assistance comply with the environmental procedures set forth in AID Regulation 16? Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does the assistance, to the fullest extent feasible: (1) stress the importance of conserving and sustainably managing forest resources; (2) support activities which offer employment and income alternatives to those who otherwise would cause destruction and loss of forests, and help countries identify and implement alternatives to colonizing forested areas; (3) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management; (4) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices; (5) help conserve forests which have not yet been degraded by helping to increase production on lands already cleared or degraded; (6) conserve forested watersheds and rehabilitate those which have been deforested; (7) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing; (8) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation; (9) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected areas a condition of support for activities involving forest clearance or degradation, and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas; (10) seek to increase the awareness of U.S. Government agencies and other donors of the immediate and long-term value of tropical forests; and (11)/utilize the resources and abilities of all relevant U.S. government agencies?

(1) YES (2-11) N/A

p. FAA Sec. 118(c)(13). If the assistance will support a program or project significantly affecting tropical forests (including projects involving the planting of exotic plant species), will the program or project: (1) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land, and (2)/take full account of the environmental impacts of the proposed activities on biological diversity?

N/A

q. FAA Sec.118(c)(14). Will assistance be used for: (1) the procurement or use of logging equipment, unless an environmental assessment indicates that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems; or (2) actions which will significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas?

(1) NO (2) NO

r. FAA Sec. 118(c)(15). Will assistance be used for: (1) activities which would result in the conversion of forest lands to the rearing of livestock; (2) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undergraded forest lands; (3) the colonization of forest lands; or (4) the construction of dams or other water control structures which flood relatively undergraded forest lands, unless with respect to each such activity an environmental assessment indicates that the activity will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?

(1-4) NO

s. FY 1990 Appropriations Act Sec. 534(a). If assistance relates to tropical forests, will project assist countries in developing a systematic analysis of the appropriate use of their total tropical forest resources, with the goal of developing a national program for sustainable forestry?

N/A

t. FY 1990 Appropriations Act Sec. 534(b). If assistance relates to energy, will such assistance focus on improved energy efficiency, increased use of renewable energy resources, and national energy plans (such as least-cost energy plans) which include investment in end-use efficiency and renewable energy resources?

N/A

Describe and give conclusions as to how such assistance will: (1) increase the energy expertise of A.I.D. staff, (2) help to develop analyses of energy-sector actions to minimize emissions of greenhouse gases at least cost, (3) develop energy-sector plans that employ end-use analysis and other techniques to identify cost-effective actions to minimize reliance on fossil fuels, (4) help to analyze fully environmental impacts (including impact on global warming), (5) improve efficiency in production, transmission, distribution, and use of energy, (6) assist in exploiting nonconventional renewable energy resources, including wind, solar, small-hydro, geo-thermal, and advanced biomass systems, (7)

expand efforts to meet the energy needs of the rural poor, (8) encourage host countries to sponsor meetings with United States energy efficiency experts to discuss the use of least-cost planning techniques, (9) help to develop a cadre of United States experts capable of providing technical assistance to developing countries on energy issues, and (10) strengthen cooperation on energy issues with the Department of Energy, EPA, World Bank, and Development Assistance Committee of the OECD.

N/A

u. FY 1990 Appropriations Act, Title II, under heading "Sub-Saharan Africa, DA" (as interpreted by conference report upon original enactment). If assistance will come from the Sub-Saharan Africa DA account, is it: (1) to be used to help the poor majority in Sub-Saharan Africa through a process of long-term development and economic growth that is equitable, participatory, environmentally sustainable, and self-reliant; (2) being provided in accordance with the policies contained in section 102 of the FAA; (3) being provided, when consistent with the objectives of such assistance, through African, United States and other PVOs that have demonstrated effectiveness in the promotion of local grassroots activities on behalf of long-term development in Sub-Saharan Africa; (4) being used to help overcome shorter-term constraints to long-term development, to promote reform of sectoral economic policies, to support the critical sector priorities of agricultural production and natural resources, health, voluntary family planning services, education, and income generating opportunities, to bring about appropriate sectoral restructuring of the Sub-Saharan African economies, to support reform in public administration and finances and to establish a favorable environment for individual enterprise and self-sustaining development, and to take into account, in assisted policy reforms, the need to protect vulnerable groups; (5) being used to increase agricultural production in ways that protect and restore the natural resource base, especially food production, to maintain and improve basic transportation and communication networks, to maintain and restore the renewable natural resource base in ways that increase agricultural production, to improve health conditions with special emphasis on meeting the health needs of mothers and children, including the establishment of self-sustaining primary health care systems that give priority to preventive care, to provide increased access to voluntary family planning services, to improve basic literacy and mathematics especially to those outside the formal educational system and to improve primary education, and to develop income-generating opportunities for the unemployed and underemployed in urban and rural areas?

(1-5) N/A

v. International Development Act Sec. 711, FAA Sec. 463. If project will finance a debt-for-nature exchange, describe how the exchange will support protection of: (1) the world's oceans and atmosphere, (2) animal and plant

species, and (3) parks and reserves; or describe how the exchange will promote: (4) natural resource management, (5) local conservation programs, (6) conservation training programs, (7) public commitment to conservation, (8) land and ecosystem management, and (9) regenerative approaches in farming, forestry, fishing, and watershed management.

(1-9) N/A

w. FY 1990 Appropriations Act Sec. 515. If deob/reob authority is sought to be exercised in the provision of DA assistance, are the funds being obligated for the same general purpose, and for countries within the same region as originally obligated, and have the House and Senate Appropriations Committees been properly notified?

N/A

Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government?

Has A.I.D. taken all appropriate steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes?

If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government?

x. FY 1991 Appropriations Act, Sec. 520. If funds are to be made available to an international financial institution, will steps be taken to ensure that its United States Government representative can, upon request, obtain (a) the amounts and names of borrowers for all loans of the institution, including loans to employees, and (b) any document developed by or in possession of the institution's management?

N/A

y. FY 1991 Appropriations Act Sec. 516. Will any part of the assistance be used for publicity or propaganda purposes within the United States?

NO

z. FY 1991 Appropriations Act Sec. 504. If the assistance will be used for making payments on a contract for procurement to which the United States is a party, will steps be taken to ensure that such contract contains a

provision authorizing the termination of such contract for the convenience of the United States?

YES

aa. FY 1991 Appropriations Act Sec. 503. Will any of the assistance be used to pay pensions, annuities, retirement pay or adjusted service compensation for any person serving in the Armed Forces of the recipient country?

NO

bb. FY 1991 Appropriations Act Sec. 501. If the assistance is to be used to finance the construction of any new flood control, reclamation, or other water or related land resource project or program, will steps be taken to ensure that such project or program meets the standards and criteria used in determining the feasibility of flood control, reclamation, and other water and related land resource programs and projects proposed for construction with the United States?

N/A

cc. FY 1991 Appropriations Act Title II. If the assistance is to be used for South Africa, will any of such assistance be used to promote support to organizations or groups which are financed or controlled by the Government of South Africa?

N/A

dd. FY 1991 Appropriations Act Sec. 510. Will any of the assistance be used to finance the export of nuclear equipment, fuel or technology?

NO

ee. FY 1991 Appropriations Act Sec. 524. If the assistance will be used for any consulting service through procurement contract, will steps be taken to ensure that such assistance is limited to those contracts where such expenditures are a matter of public record and available for public inspection?

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 at a reasonable rate of interest.

PROJECT IS 100% GRANT FUNDED

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 percent of the

enterprise's annual production during the life of the loan, or has the requirement to enter into such an agreement been waived by the President because of a national security interest? .

N/A

c. FAA Sec. 122(b). Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities?

YES

3. Economic Support Fund Project Criteria

a. FAA Sec. 531(a). Will this assistance promote economic and political stability? To the maximum extent feasible, is this assistance consistent with the policy directions, purposes, and programs of Part I of the FAA?

NO ESF FUNDS ARE INCLUDED IN THIS PROJECT

b. FAA Sec. 531(e). Will this assistance be used for military or paramilitary purposes?

N/A

c. FAA Sec. 609. If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made?

N/A

Annex C. SIF Matrix One: Leadership in Ecuador by Sector

The following chart, drawn from the Ecuador SIF, categorizes the various leadership sectors in the country. It is organized by the five priority sectors selected by the Ecuador Mission for training emphasis, and analyzes each sector according to the level of sphere of influence of the leadership roles included (that is, whether they are active on the national, provincial, or local levels). The leaders are then organized according to whether they active in rural or urban areas, as well as to what their typical income levels would be.

SECTOR: Agriculture/Natural Resources

Sphere of Influence	Urban	Urban	Rural	Rural
	High Income	Medium/Low Income	High Income	Medium/Low Income
National Level	Minister of Agriculture	Small Agriculture Producers Associations		
	Sub-secretaries of Agriculture	Directors of National Parks and Recreation Areas		
	Directors of Institutions Annexed to Min. of Ag. - INLAP, EMPROVIT, ENAC			
	Private Institutions - IDEA, FUNDAGRO IICA, FAO			
	Resource Conservation/Management Institutions - NATURA, TIERRA VIVA			
	President of Cattlemen/Agricultural Bank			
	Directors - "Banco de Fomento"			
	"Colegio de Agrónomos"			
	Agricultural Producer Associations			
	Director of CLIRSEN			
	National Cattlemen's Association			

95

PROVISIONAL

91-94

MATRIX ONE: LEADERSHIP IN ECUADOR BY SECTOR

SECTOR: Agriculture/Natural Resources (?)

96

Sphere of Influence	Urban		Rural	
	High Income	Medium/Low Income	High Income	Medium/Low Income
Provincial Level	"Jefes Provinciales" of Ministry of Agriculture	Associations of Small Producers: Rice, Coffee, Etc.		Agricultural Cooperatives
	Agricultural Bank Branch Managers			
	Provincial Associations of Cattlemen, Agricultural Producers			
	Provincial Directors of National Programs - Coffee, Rice, Etc.			
Local Level				Extension Agents
				Rural Promoters
				Community Leaders
				Leaders of Agricultural Cooperatives
				Small Producers Associations
				"Lideres de Cabildos Comunas"
				Women Campesino Associations
				Park Guards
				Park Inspectors

MATRIX ONE: LEADERSHIP IN ECUADOR BY SECTOR

SECTOR: Health (Maternal/Child Family Planning

Sphere of Influence	Urban	Urban	Rural	Rural
	High Income	Medium/Low Income	High Income	Medium/Low Income
National Level	Minister of Health	Directors of Ministry Health Departments		
	Directors of Sub-secretariates of Health			
	National Directors of Ministry of Health			
	Directors of Institutes Attached to Ministry of Health			
	President of "Colegio Médico"			
	President of "Nurses Colegio"			
	Director of National Hospitals			
	High Level Employees of International Health Organizations			
	ASAPROFAR Director			
	CEMOPLAF Director			
	Directors of Other Private Organizations Working Nationally			
	Directors of National Health Programs: ex. "Salud Infantil", "Lucha Contra el Bocios"			

MATRIX ONE: LEADERSHIP IN ECUADOR BY SECTOR

SECTOR: Health (Maternal/Child Family Planning (2))

Sphere of Influence	Urban	Urban	Rural	Rural
	High Income	Medium/Low Income	High Income	Medium/Low Income
Provincial Level	"Jefaturas de Salud"	Directors of Health Centers		Health Inspectors
	Director of Provincial Hospital	Director of Rural Workers' Insurance	Director of a Rural Health Center	Health Promoters
	Provincial "Colegio Médico"			
	Provincial "Colegio de Enfermeras"			
Local Level	Health Sub-Center			Director of Health Sub-Center
	"Boticario"			"Encargado de Boticario"
	"Curanderos"			"Empleado de Posta Médica"
	"Parteras"			"Curanderos"
	"Médico Rural"			"Parteras"
	NGO Run Medical Posts			Health Promoters
				NGO Run Medical Posts

MATRIX ONE: LEADERSHIP IN ECUADOR BY SECTOR

SECTOR: Export. Trade and Investment

Sphere of Influence	Urban	Urban	Rural	Rural
	High Income	Medium/Low Income	High Income	Medium/Low Income
National Level	Ministry of Agriculture			
	Ministry of Industry			
	Sub-secretariates of Agriculture			
	Sub-secretariates of Industries			
	Chamber of Commerce			
	Production Associations			
	National Floral Export Association			
	National Association of African Palm Producers			
	National Associations of Exporters of Coffee, cocoa, bananas			
	CENAPLA			
	National Association of Exporters of non-Traditional Products			
	National Association of Shrimp Exporters			
	National Tourism Director			
	National Hotel Assoc.			

MATRIX ONE: LEADERSHIP IN ECUADOR BY SECTOR

SECTOR: Export. Trade and Investment (2)

Sphere of Influence	Urban	Urban	Rural	Rural
	High Income	Medium/Low Income	High Income	Medium/Low Income
National Level	OCEPA			
	National Association of Tourist Agencies			
Provincial Level	Provincial Headquarters of Ministries of Agriculture and Industry	Non-Traditional Product Cooperatives		Small Producer Cooperatives
		Provincial Associations of Artisans		Artisan Cooperatives

BASIC PROJECT DATA:

PROJECT LOCATION: Ecuador

PROJECT TITLE: Ecuador Development Scholarship Program:
(part of regional program CLASP II)

PROJECT NUMBER: 518-0091

FUNDING: \$6,600,000, grant

LIFE OF PROJECT: FY91-FY96

IEE PREPARED BY: Howard L. Clark, Ph.D. *H. Clark*
Regional Environmental Advisor
REA/SA, U.S.A.I.D./Quito

Date: 11 April 1991

RECOMMENDATION: Categorical Exclusion

This Project qualifies for Categorical Exclusion from further environmental examination, in accordance with Sec. 216.2(2)(i) of the Foreign Assistance Act. Sec. 216.2 states, "The following classes of actions are not subject to the procedures set forth in [Sec.]216.3, except to the extent provided herein:

"(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.) . . ."

This educational scholarship program does not include construction of facilities or any other activities directly affecting the environment.

Project activities will include education in sustainable management of natural resources, environmental sciences, or related fields, in accordance with AID policies and guidelines and relevant Congressional mandates.

CONCURRENCE:

CEC

Charles E. Costello
Mission Director, USAID/Ecuador

date: 4/12/91

ECCLASP/REA

Annex E: CLASP I Implementation Experience

The following comments represent some general lessons learned about implementing CLASP I. They are intended to serve as background information for the design and implementation of CLASP II.

Introduction

Missions responded very quickly to the implementation of CLASP I. Country Training Plans were developed, trainees selected, prepared for training and traveled to the U.S. over a short period. In many cases, the need to expedite the project impeded the institution of such fundamentals as procedures and organization. Missions have gradually reorganized and refined their policies, procedures and staffing to reflect project needs.

Many of these lessons are already being carried over into the implementation of CLASP II. However, the beginning of a new country project provides the opportunity to revise and update the CLASP "handbook".

It is in this spirit that the following suggestions are presented. We have had the opportunity to witness many different implementation strategies over the past years, and the following guidelines have derived from this experience.

These suggestions refer to the fundamental aspects of CLASP rather than the details. One thing has become clear:

Missions which have instituted and administered clear, well defined policies and procedures for recruiting, selecting, programming, placing and monitoring trainees have been able to conduct very effective programs. The following comments refer to activities which should occur in addition to the required SIF.

The first fundamental is to decide upon an effective organizational scheme. This includes decisions over contracting, upgrading training office or CLASP office staffs, procuring needed equipment and space. Will an in-country contractor be necessary? Who will provide the U.S. management of trainees? Will the Mission use OIT or its own contractor? What type of staff will be needed?

The second fundamental is to develop clear policies and procedures for recruiting, selecting, programming, placing and monitoring Trainees. Will intermediary institutions be used for identification of potential populations adequate for CLASP? What type of documentation is needed for processing and audits? Who will do the recruiting? Who will do the selecting? What are the selection criteria?

I. Recruitment

A. Missions should clearly differentiate between recruitment and selection in establishing procedures and criteria. Recruitment involves identifying a qualified pool of candidates; selection should be from among these already qualified candidates.

B. Use of widespread publicity (newspaper and magazine advertisements, posters, etc.) are more appropriate for long term scholarships than for short term programs. If the Mission has difficulty reaching the 40% target for women, a targeted recruitment effort for women should be instituted.

Women should not be "added to" programs which have been designed primarily for men. The presence of women in a training group should be carefully thought out. If the training is not appropriate for women (in the Mission's opinion) then women specific training should be developed or separate programs should be considered.

C. All U.S. and local staff should be made aware of the training opportunities; they are often a source of valuable contacts for the Training Office. However, Missions should be very careful to ensure that local direct and FSN staff understand the purposes of the program. Obviously local staff have their own projects, interests and professions. It is in these areas that they will naturally concentrate. This may be inappropriate for CLASP. Missions must ensure that CLASP training is not substituted for other Mission Project Training. This is not easy; and it may be made more difficult by including other project staff in recruitment, planning or targeting exercises.

D. Appropriate local organizations are often very effective in recruiting qualified candidates. Consideration should be given to working through local PVOs and other groups. If such organizations are used as intermediaries, they should be provided with written recruitment guidelines to ensure an equitable screening process. Peace Corps should be used both for identifying qualified candidates and for interviewing candidates in areas where the Mission personnel may have difficulty travelling. A danger in using local groups is that they will supply individuals who are not properly selected or screened. Their procedures must be carefully monitored and the CLASP Project Officer must be convinced that the local organizations fully understand the goals and objectives of CLASP screening and selection. Under no circumstances should the local group be given authority to select. Selection must remain in the hands of the Mission/CLASP Project. In addition, local organizations must supply a large pool of candidates from which the Mission may select.

In cases where the local organization is a governmental agency, special care must be taken to ensure that the agency understands the regulations governing recruitment. It is completely inappropriate for a governmental agency to select.

In some cases, local government agencies have attempted to mandate selection by nominating exactly the number of trainees who are required. This is unacceptable and Missions must find ways to prevent it. In the worst case, the Mission should withdraw the training. This has happened in a CLASP I program and the governmental agency finally committed itself to project final selection.

II. Selection

A. Clear and specific definitions of key terms (leader, potential leader, disadvantaged, youth, etc.) and financial means criteria must be developed prior to initiating selection procedures. The definitions must be functional so that each candidate can be classified according to the Mission's selection criteria.

If definitions are difficult, as in the case of leadership, different methodologies can be used to assess the extent to which a person demonstrates leadership (for example, references from teachers, colleagues, etc.).

B. Standard application forms should be developed which include all the information required by LAC/DR for the process evaluation database as well as for Mission selection procedures. (Current forms are adequate for LAC process evaluation needs).

C. All rejected applicant files should be maintained for the life of the project, with a record of why the applicant was rejected.

D. A systematic weighted scale to categorize and rank applicants at all stages of the evaluation process aids in both the reality and perception of a fair process.

E. Personal interviews should be carried out with all final candidates before granting them the scholarship, with uniform interview questions and a rating system developed by each Mission. The CLASP II emphasis on leadership makes this interview even more important.

F. At least one American and one local should participate in each interview. In addition, it is helpful to have a technical expert and a representative of the contractor present as well.

G. The composition of the final selection committee should be considered carefully and should represent both the local community and AID. The Mission should have the final responsibility for selection of all participants.

H. Selection should be carefully documented using the above suggestions. In addition, the Mission should ensure that all the documentation is maintained in properly filed folders by PIO/P or group name. This will aid in future audits.

I. Short- and long term academic trainees may be selected using different criteria and procedures. If this is the case, both sets of procedures should be developed, written down and form part of the project documentation.

J. It is very important to ensure that a group which meets all CLASP criteria meet one additional criterion -- that it be a trainable unit. In the past, Missions have sent groups which superficially meet such CLASP criteria as disadvantaged, rural, etc; however a significant portion of the group was illiterate. This factor made the group virtually untrainable. The contractor (unaware of this condition) had to revise the program completely during the first days in the U.S. leading to strain and discontent for all concerned.

III. Pre-departure Orientation

A. U.S. contractors or trainers should be involved in the pre-departure orientation. This should be built into the contract.

B. The short term participants should be brought together by groups for pre-departure orientation to stimulate exchange of information among the group and maximize their capacity to learn from their time in the U.S.

C. Pre-departure orientation requirements are different for short term and long term participants.

D. Orientation should include information about the participants home country and all participants should be encouraged and assisted in taking information about their country and their families, towns, etc. to share with Americans.

E. Returnees should be incorporated into the orientation panel discussions, particularly dealing with issues of transition to U.S. social, academic, and political life.

F. In-country orientation on the CLASP program is more important than general orientation to the U.S. culture which the participants will get from their "Experience America" program in the U.S.

G. Follow-on should be initiated in the pre-departure orientation with discussions of what the participants would view as appropriate and useful follow-on activities.

H. Long term Trainees should be informed of the typical stages of getting into a new culture. They should understand what will be happening to them and how they can best respond to "culture shock."

IV. Preparation of PIO/Ps and other Documentation

A. Define specific objectives in relation to "Experience America" programs.

B. Personal background on the candidates is important if homestays are to be requested. Missions should consider using the application forms to provide useful information to contractors and trainers early in the planning process.

C. If the contractor has already made contact with a university, this information about the arrangements should be included in the PIO/P.

D. Copies of each PIO/P (and all amendments and secondary PIO/Ps) should be kept in a folder along with the following:

1. The TCA Budget and final expenditure record (using the LAC TCA reporting form);
2. The documentation describing the selection procedure which should include the candidates ratings on critical points (as described above);
3. The Trainees' application forms, which can serve as backup documentation later.
4. The J-1 visa application form.
5. Any other documentation normally maintained by the Mission for its participants, such as the medical exam results.
6. Any correspondence from Trainees or Contractors.
7. Grades or other performance indicators.

Maintaining the above files is essential to avoid problematic audits.

INITIALS

21

APPR: FS

FS

DRAFT: EW

EW

OTHER: LW

LW

OTHER: _____

OTHER: _____

ANNEX F

UNCLASSIFIED

AID/LAC/DR:EWARFIELD:GEB/ 48690
04/07/89 7-9181
AAA/LAC:FSCHIECK

AID/LAC/DR:TBROWN {DRAFT}
AID/LAC/DR:JCARNEY {DRAFT}
AID/LAC/DP:WUHEELER {DRAFT}
AID/PPC/PDPR:VBARNES {DRAFT}

AID/LAC/DR:GBOWERS {DRAFT}
AID/LAC/DR:MBERNBAUM {DRAFT}
AID/LAC/CEN:JLOVAAS {DRAFT}

IMMEDIATE

AIDLAC

AIDAC

E.O. 12356: N/A

TAGS:

SUBJECT: DAEC REVIEW OF THE CARIBBEAN LATIN AMERICA
SCHOLARSHIP PROGRAM {CLASP} II {598-0661} {597-0044}

1. SUMMARY: THE DAEC REVIEW OF THE SUBJECT PID WAS HELD
ON TUESDAY, MARCH 21. THE A-AA/LAC CHAIRED THE REVIEW.
MISSION COMMENTS HAD BEEN INCORPORATED INTO THE REVISED
PID AND MISSION REPRESENTATIVES FROM HONDURAS AND EL
SALVADOR ATTENDED THE ISSUES REVIEW. THE PID WAS
APPROVED WITH THE FOLLOWING DAEC GUIDANCE FOR
PREPARATION OF THE PROJECT PAPER:

2. CONSULTATION WITH CONGRESS: IT WAS AGREED THAT, IN
LIGHT OF THE PROJECT'S HIGH VISIBILITY AND CONGRESSIONAL
INTEREST, THE LAC BUREAU {WOULD KFEP KEY CONGRESSMEN,
SENATORS, AND STAFFERS INFORMED ON THE PROGRESS OF CLASP
II PROJECT DESIGN}.

3. PARAMETERS OF PARTICIPANT SELECTION AND TRAINING:
GIVEN THE PROJECT'S HIGH VISIBILITY AND ITS COMBINED
DIPLOMATIC/DEVELOPMENTAL FOCUS, IT WAS DECIDED THAT,
UNDER CLASP II: A) THE 28 DAY MINIMUM FOR SHORT-TERM
TRAINING WOULD BE CONTINUED, B) AT LEAST 20 PERCENT OF

UNCLASSIFIED
OF 185 (GL)

THE TOTAL NUMBER OF PARTICIPANTS WOULD RECEIVE LONG-TERM TRAINING DEFINED AS TRAINING OF 9 MONTHS OR MORE; C) AT LEAST 70 PERCENT OF ALL PARTICIPANTS WOULD BE SOCIALLY AND ECONOMICALLY DISADVANTAGED; D) AT LEAST 40 PERCENT OF THE PROJECT PARTICIPANTS WOULD BE WOMEN; E) A RANGE RATHER THAN A SPECIFIC TARGET OF THE TOTAL NUMBER OF PARTICIPANTS TO BE TRAINED UNDER THE PROJECT WOULD BE ESTABLISHED; AND, F) THE TRAINING PROVIDED WOULD BE U.S.-BASED RATHER THAN IN-COUNTRY OR THIRD COUNTRY. EXCEPTIONS TO THESE GUIDELINES WOULD REQUIRE LAC/W CONCURRENCE. THE SOCIAL INSTITUTIONAL FRAMEWORK PREPARED BY EACH MISSION AS PART OF THE PP DESIGN PROCESS, WILL BE USED TO REFINE EACH MISSION'S CLASP II PROGRAM IN ACCORDANCE WITH PROJECT OBJECTIVES AND THE COUNTRY STRATEGY TAKING INTO ACCOUNT THESE SELECTION AND TRAINING PARAMETERS.

4. CENTRAL VS. MISSION PPS AND AUTHORIZATIONS: IT WAS DECIDED THAT THE MISSIONS WOULD FINALIZE INDIVIDUAL PPS BASED ON THE QUOTE MODEL UNQUOTE PP PROVIDED BY AID/W AND AUTHORIZE THE PROJECT IN THE FIELD. IN PREPARING THEIR PPS, THE MISSIONS WILL BE DIRECTED TO ADHERE CLOSELY TO SPECIFIC SECTIONS AND PARAMETERS SPELLED OUT IN THE QUOTE MODEL UNQUOTE PP. AID/W WILL MONITOR MISSION COMPLIANCE WITH CLASP II POLICY GUIDANCE THROUGH THE PROCESS EVALUATION AND THE FORMAL REVIEW OF THE ANNUAL CTP UPDATES.

5. PROJECT IMPLEMENTATION: IT WAS DECIDED THAT THE MISSIONS WOULD BE RESPONSIBLE FOR ARRANGING THEIR OWN CONTRACTS TO IMPLEMENT CLASP II; HOWEVER, IN THE INTEREST OF AVOIDING A MULTIPLICITY OF CONTRACTS AND THE CONCOMITANT OVERHEADS ENGENDERED IN SUCH AN APPROACH, MISSIONS, ESPECIALLY THOSE WHERE THE SMALL AMOUNT OF CLASP II FUNDING DOES NOT JUSTIFY AN INDIVIDUAL CONTRACT, WILL BE STRONGLY ENCOURAGED TO ACCESS THE OIT CONTRACTS, EITHER THROUGH PIO/P OR PIO/T BUY-INS. THE PP WILL PROVIDE A DETAILED DISCUSSION OF THE CONTRACTING OPTIONS AVAILABLE TO ACCOMMODATE THE VARYING NEEDS OF THE PARTICIPATING MISSIONS.

6. PROJECT EVALUATION: IT WAS DECIDED THAT THE PP SHOULD INCLUDE AN IMPACT EVALUATION THAT IS TECHNICALLY APPROPRIATE AND AFFORDABLE, BUT THAT THE SCOPE OF THE PROCESS EVALUATION SHOULD BE SCALED BACK FROM ITS CURRENT LEVEL OF EFFORT. THE COST OF THESE EVALUATIONS WILL BE CLOSELY ANALYZED TO MINIMIZE THE NUMBER AND COST OF CONTRACTORS AND CONSULTANTS FINANCED BY A.I.D. IN ADDITION TO THESE EVALUATIONS AND FUNDING AMOUNTS, MISSIONS, WITH THEIR OWN FUNDS, CAN CONTRACT OUT EVALUATIONS OF SPECIFIC CLASP II PROGRAMS.

7. PROJECT FINANCING: IT WAS DECIDED THAT THE TOTAL LOP WOULD

UNCLASSIFIED
OF 185 (GL)

BE REDUCED FROM THE DOLS 275 MILLION CONTAINED IN THE PID TO DOLS 200 MILLION IN LIGHT OF POSSIBLE FUTURE DECLINES IN DA AND ESF FUNDING LEVELS. APPROXIMATELY DOLS 100 MILLION WILL BE ALLOCATED TO THE CLASP II PROGRAMS MANAGED BY THE INDIVIDUAL MISSIONS. THE REMAINING 50 PERCENT OF THE LOP AMOUNT NEEDS TO BE SET ASIDE IN ANTICIPATION OF THE GEORGETOWN PROGRAM, LCA AND OTHER DIRECTED PROGRAMS; AND FOR PROJECT MONITORING, EVALUATION, AND SUPPORT, BOTH OF WHICH WILL BE MANAGED BY LAC/W. THE DISTRIBUTION OF THE DOLS 100 MILLION IN CLASP II FOR MISSION-BASED PROJECTS IS THE SUBJECT OF A SEPTEL AND WILL BE DISCUSSED IN THE UPCOMING REGIONAL MEETINGS. THE FUNDING LEVELS ESTABLISHED FOR EACH COUNTRY IN THE MODEL PP WILL SERVE AS THE MINIMUM LEVEL AT WHICH A MISSION CAN FUND CLASP II. MISSIONS ARE WELCOME TO EXCEED THIS MINIMUM LEVEL, IF THEY CHOOSE TO DO SO.

8. IT WAS ALSO DECIDED THAT, WHERE ESF FUNDING IS AVAILABLE, FIELD MISSIONS SHOULD CONTINUE TO MAXIMIZE THEIR USE OF ESF IN FUNDING THIS PROJECT. GIVEN THE CONGRESSIONAL IMPETUS FOR THIS PROJECT AND THE POLITICAL RATIONALE FOR ESF ALLOCATIONS, IT WAS DEEMED APPROPRIATE THAT CLASP FUNDING SHOULD CONTINUE TO BE CLOSELY LINKED TO THE FUTURE AVAILABILITY OF ESF.

9. STAFFING IMPLICATIONS OF CLASP II DESIGN: TAKING INTO ACCOUNT MISSIONS' CONCERNS ABOUT THE STAFFING IMPLICATIONS OF THE CLASP II DESIGN, ESPECIALLY AS IT RELATES TO FOLLOW-ON ACTIVITIES, THE PP WILL DISCUSS THE STAFFING REQUIREMENTS, BOTH DIRECT-HIRE AND CONTRACT, OF CLASP II, AND WILL INDICATE TO THE MISSIONS THAT THE ADDITIONAL PERSON REQUIRED FOR THE FOLLOW-ON ACTIVITY CAN BE FINANCED FROM PROGRAM FUNDS. THE OE IMPLICATIONS OF THESE STAFFING REQUIREMENTS WILL ALSO BE DISCUSSED. 44

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/ PARTICIPANTS (PIO/P)		1. COOPERATING COUNTRY Country B		2. PIO/P NUMBER	
		3. PROJECT ACTIVITY NUMBER & TITLE CLASP II			
		4. APPROPRIATION		5. ALLOTMENT	
		6. DATE ORIGINAL ISSUE		7. DATE THIS ISSUANCE	
PAGE 1 OF _____					
8. PROJECT COMPLETION DATE		9. DESIRED START DATE		10. TERMINAL START DATE	
11. NUMBER OF PARTICIPANTS					
12. <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> AMENDMENT NUMBER _____		15. LOCATION/DURATION OF TRAINING <input type="checkbox"/> U.S. _____ P/M <input type="checkbox"/> Third Country _____ P/M <input type="checkbox"/> In Country _____ P/M			
14. FINANCING					
AGENT	TYPE OF EXPENSE	A. PREVIOUS TOTAL	B. INCREASE	C. DECREASE	D. NEW TOTAL
AID	(a)				45,404.08
MISSION	(b) InL Travel				
	(c) Maint. Advance				1,950.00
AID/W	(d)				43,454.08
THIRD COUNTRY	(e)				
	(f)				
	(g)				
	(h)				
	(i)				
15. COOPERATING COUNTRY FINANCING					
16. U.S. TRUST ACCOUNT	A. TRUST ACCOUNT NUMBER		C. AUTHORIZED	D. CURRENCY UNIT	E. AMOUNT
	B. ALLOTMENT SYMBOL				
17. SPECIAL PROVISIONS					

A. REF: PIL NUMBER _____ GRANT _____ LOAN _____

B. SUPPLEMENTARY INFORMATION

MS degree in Aquaculture with emphasis in Shrimp Production.

C. NAME(S) OF PARTICIPANTS

(Insert name of participant - Mr. Jones)

18. MISSION CLEARANCES

SIGNATURE	DATE	SIGNATURE	DATE

19. HOST COUNTRY/BORROWER/GRANTEE

20. AGENCY FOR INTERNATIONAL DEVELOPMENT

SIGNATURE

TITLE

DATE

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/ PARTICIPANTS TRAINING REQUEST FORM PAGE 2 OF _____	1. COOPERATING COUNTRY	2. PIO/P NUMBER
	3. <input type="checkbox"/> ORIGINAL <input type="checkbox"/> AMENDMENT NO. _____	4. DATE

B. TRAINING REQUEST

A. DESCRIPTION OF TRAINING REQUESTED. (Describe clearly the training desired; summarize the project input, output, and purpose to which the training will be applied)

The purpose of this training program is to increase the number of the Country B's technicians in the field of aquaculture in order to meet the country's growing need for professional manpower and to assist Country B's Institute of Technology in its efforts to expand and upgrade its research programs. The Institute needs adequately trained staff to offer and conduct research in ocean and fresh water fisheries, particularly on shrimp production.

(continued on page 3)

B. ACADEMIC TRAINING ONLY: DEGREE OBJECTIVE
 MAJOR FIELD OF STUDY

M.S. Aquaculture
 Shrimp Production

C. RELATED INFORMATION

D. PARTICULAR EMPHASIS DESIRED

Crustaceous Production

E. SUGGESTED TRAINING FACILITIES (if known)

- 1) University of Hawaii, Honolulu, Kaneohe
- 2) Auburn University, Auburn, Alabama
- 3) Texas A&M (application already submitted)
- 4) Louisiana State University
- 5) Oregon State University (application already submitted)

A. CHECK APPROPRIATE BOX (B47)

GOVERNMENT PRIVATE JOINT

B. OCCUPATIONAL
 CATEGORY CODE
 (B48-49)

This field is considered to be of importance to Country B's economy since ocean and/or fresh water shrimp is of great demand in world markets. It is considered that shrimp production will continue to be an exportable item from Country B for the foreseeable future, given its cultivation at normal year-round temperatures, growth and development requirements, and ideal local conditions for the expansion of the industry.

The study program requested for the participant is to include courses in animal sciences with emphasis in genetics, nutrition, diseases and physiology focusing on freshwater shrimp breeding, pond management systems and domestication, including substantial practical training in laboratory and field work, special projects and research. The following subjects should be covered: Aquatic ecology, economics of aquaculture, water quality, hatchery management, fish and shrimp reproduction, pond construction, aquaculture production and breeding.

Mr. Jones has been a researcher at the Institute since 1981 and has assisted in numerous research projects; he has also been Assistant Professor in General Biology. He received a B.S. degree in 1982 in Biology from the Autonomous University. The general knowledge acquired by the participant during the projected training in the U.S. will contribute to the technical development of the Institute, therefore his training program should be oriented toward research on crustaceous organisms, particularly on shrimp production.

To obtain a M.S. degree in Aquaculture the participant should receive both formal course work and practical research experience. For his thesis, emphasis will be given to research applicable to marine biology conditions in Country B to help ameliorate local shortage of technicians trained in fresh water fisheries and marine biology and shrimp production.

The institution supporting this training program agrees to guarantee the employment of the participant upon his return in a position which will be in accordance with his education.

Mr. Jones also received a B.S. degree in Modern Languages from the Autonomous University Language Department, with emphasis in the English language and has prepared a guide of schools offering English language training in Country B. The participant is known for his effective and positive professional attitude in all the activities carried out by him at the university and at the Institute.

Funds are being provided under this PIO/P for English language training at the American Language Institute, Georgetown University (ALIGU), prior to academic enrollment in a US university in January of 1990. Enrollment in ALIGU should be requested during the month of October, and living accommodations for the participant while in the English language training at ALIGU should be arranged at an American home or at a guests house where only English is spoken.

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/ PARTICIPANTS (PIO/P)	1. COOPERATING COUNTRY COUNTRY A	2. PIO/P NUMBER XXXXX
	3. PROJECT ACTIVITY NUMBER & TITLE CLASP II (Firefighters)	
	4. APPROPRIATION	5. ALLOTMENT
	6. DATE ORIGINAL ISSUE	7. DATE THIS ISSUANCE

PAGE 1 OF

8. PROJECT COMPLETION DATE	9. DESIRED START DATE	10. TERMINAL START DATE	11. NUMBER OF PARTICIPANTS
12. <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> AMENDMENT NUMBER		13. LOCATION/DURATION OF TRAINING <input type="checkbox"/> U.S. ____ P/M <input type="checkbox"/> Third Country ____ P/M <input type="checkbox"/> In Country ____ P/M	

14. FINANCING

AGENT	TYPE OF EXPENSE	A. PREVIOUS TOTAL	B. INCREASE	C. DECREASE	D. NEW TOTAL
AID	(a)				\$164,760.00
MISSION	(b) Int. Travel				
	(c) Maint. Advance				39,000.00
AID/W	(d)				125,760.00
THIRD COUNTRY	(e)				
	(f)				
	(g)				
	(h)				
	(i)				

15. COOPERATING COUNTRY FINANCING				
16. U.S. TRUST ACCOUNT	A. TRUST ACCOUNT NUMBER	C. AUTHORIZED	D. CURRENCY UNIT	E. AMOUNT
	B. ALLOTMENT SYMBOL			

17. SPECIAL PROVISIONS

A. REF: PIL NUMBER _____ GRANT _____ LOAN _____

B. SUPPLEMENTARY INFORMATION International airfare, medical exams, passports, visas, photographs, predeparture orientation, evaluation, and miscellaneous costs will be charged to project XXXX, (Local Currency Agreement).

C. NAME(S) OF PARTICIPANTS

(A list of the 20 individuals selected for training would be inserted here. Up to five alternates could also be listed.)

18. MISSION CLEARANCES

SIGNATURE	DATE	SIGNATURE	DATE

19. HOST COUNTRY/BORROWER/GRANTEE	20. AGENCY FOR INTERNATIONAL DEVELOPMENT
SIGNATURE	
TITLE	
DATE	

MODEL GROUP PIO/P

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/ PARTICIPANTS TRAINING REQUEST FORM PAGE 2 OF _____	1. COOPERATING COUNTRY	2. PIO/P NUMBER
	3. <input type="checkbox"/> ORIGINAL <input type="checkbox"/> AMENDMENT NO. _____	4. DATE

B. TRAINING REQUEST

A. DESCRIPTION OF TRAINING REQUESTED. (Describe clearly the training desired; summarize the project input, output, and purpose to which the training will be applied)

Country A's rural firemen, under the responsibility of the National Fire Department, have been a source of rural leadership for a number of years. These local leaders come from a large cadre of salaried and volunteer firemen who are attracted to the organization. Volunteer firemen, who work under the supervision of professional firemen, come from all strata of rural society. All are respected members of their communities and many are involved in other community programs.

Permanent members of the rural fire department are also included in the selection of participants, as they are the backbone of the Fire Department's program, meet CLASP criteria, and are respected leaders and important persons in their communities.

The National Fire Department is organized in 40 districts in seven provinces. Fire districts are divided into three types:

- Type A Large urban setting with an average of 10 salaried and 25 volunteer firemen.
- Type B Small town setting with an average of 6-10 salaried and 25 volunteer firemen.
- Type C Isolated rural settings with an average of 4 salaried and 25 volunteer firemen. (contd. on page 3)

B. ACADEMIC TRAINING ONLY: DEGREE OBJECTIVE N/A
 MAJOR FIELD OF STUDY

C. RELATED INFORMATION

See Following Pages

D. PARTICULAR EMPHASIS DESIRED

See Following Pages

E. SUGGESTED TRAINING FACILITIES (If known)

Training Implementor will be selected by OIT's general contractor.

6. PARTICIPANT'S FUTURE EMPLOYMENT		
A. CHECK APPROPRIATE BOX (B47)		B. OCCUPATIONAL CATEGORY CODE (B48-49)
<input type="checkbox"/> GOVERNMENT	<input type="checkbox"/> PRIVATE	<input type="checkbox"/> JOINT

Nationally, the National Fire Department has approximately 1,240 firemen (240 salaried and 1,000 volunteers). The national organization sets overall standards and objectives for the fire fighting force and provides supervision and administrative support for the local units. Fire prevention is a key area of emphasis.

The training for this group fits CLASP objectives by broadening democratic linkages and reaching out through a highly respected intermediary institution to local leaders who will continue to play an important role in rural development.

This will be the second group of rural firemen under CLASP. The first project was very successful. The evaluation of the first project and the recommendations of the intermediary institution have been taken into consideration in the project design.

Training Objectives:

To provide the participants with specific firefighting training in the United States, introduce them to community and outreach programs carried out by small U.S. fire departments, and give them the opportunity to know life in the United States. Technical and cultural training should be combined throughout the two-month period.

Proposed Intermediary:	National Fire Department
Proposed Training Date:	September, 1989
Project Implementor:	To be selected
Number of Participants:	Up to 20
Duration of Program:	8 weeks

Orientation Responsibilities:

USAID/Country A will provide the participants with two weeks of survival English and four days of cultural orientation in the capital city prior to departure for the U.S. However, technical and cultural orientation are to be conducted in Spanish in the United States, or as an option (subject to Mission approval) with simultaneous translation.

Selection Responsibilities:

USAID/Country A with the assistance of the National Fire Department.

PARTICIPANTS:

Candidates will be selected from among both volunteer and salaried rural firemen. Approximately six to seven individuals from each Type as described above will be selected. The education level of volunteer firemen is normally at a high school level. Any variations in educational levels will be noted for the Contractor and/or the training implementor.

WFS

important that this aspect of the training program is closely coordinated with USAID/Country A in order to avoid duplication with the cultural training provided the participants in their home country and during in-country language training.

2. To acquaint the participants with United States family life by having them live with families where Spanish is not the first language; attending social, cultural, recreational and sports events; or other activities which typify life in the United States.

Homestays are considered an integral part of the program. A minimum of three weeks of homestays are to be provided by the training implementor and should be arranged at all training locations. Language differences are not considered a barrier to fulfilling this requirement. Homestays are to be arranged with volunteer families who provide room and board without charge, or for a modest stipend.

Participant experiences are to be periodically reviewed with the participants to assure that an understanding of the U.S. culture is being achieved.

III. OTHER GENERAL TRAINING CONSIDERATIONS AND INFORMATION:

1. Training Locations: Training will take place in up to three stateside locations in order to explore the participants to a variety of cultural experiences. One week or more of training may be conducted at a Historically Black College and University (HBCU) for technical and/or cultural training.

2. Training Implementor: In addition to technical and other criteria used in training implementor's selection, the implementor should demonstrate an understanding of the cultural aspects of this training program. Concrete examples of how the cultural components will be incorporated in the project are required. Only implementors who are judged to be capable of handling this and other components will be selected. The training implementor is also required to identify USAID/Country A as the project's sponsor in all project related communications.

3. Training Implementor's Responsibility for Project Review: The training implementor will provide 2 to 3 hours bi-weekly for the participants to evaluate their entire training program, to resolve cultural and/or other misunderstandings, and to provide feed-back to the implementor for project improvements.

The contractor is required to visit Country A prior to the departure of the rural firemen group. A predeparture scope of work is attached to this project proposal.

Implementor will provide a bi-weekly report on the general progress of the training program to the Mission and will include a summary of the evaluation done by the group and plans to implement changes, if necessary. The implementor is also to provide USAID/Country A with the name and addresses of homestay hosts no later than one month after the project is terminated, so that USAID/Country A can thank them appropriately.

4. USAID/Country A's Responsibilities: Mission responsibilities will include: developing the project with the intermediary institution, selecting participants, providing all administrative services required for the departure of the participants, including the arrangement of medical examinations, survival English classes (when required), and a program of predeparture orientation.

BACKGROUND:

In the light of prior experience and CLASP objectives, USAID/Country A believes that the quality of CLASP short-term training projects in Country A can be enhanced when the sub-contractor responsible for implementing the project in the United States spends several days in Country A prior to the departure of the training group to: a) review the project implementation design with the Mission and with the intermediary institution that participates in project design and participant preselection, and c) to meet the participants on a formal and informal basis to review state-side activities.

PREDEPARTURE SCOPE OF WORK:

Time: Up to five days, approximately one to two months before groups estimated departure date.

- Purpose:
- a. Meet with Mission representatives to review the project and plan follow-on activities.
 - b. Meet with representative(s) of Country A's intermediary institution(s) to review the project and plan follow-on activities.
 - c. Meet with the participants to discuss the training programs, exchange ideas, get to know them as a group and as individuals, and to discuss their understanding of the objectives of the training.
 - d. Visit participants at home and work to better understand the socio-economic and cultural context that participants come from and to where they will return.
 - c. Review Mission participant documents are required.

ANNEX H. **Training Cost Analysis (TCA) Instructions and
Sample Forms**

INTRODUCTION

The purpose of this appendix is to introduce CLASP II participating Missions to the **Training Cost Analysis (TCA)** process of identifying, estimating, and tracking and monitoring the costs associated with participant programming and to provide two sets of completed TCA forms: one for a short-term technical group and one for a long-term academic participant.

Training Cost Analysis (TCA), as defined and discussed in the TCA Training Manual (available from the Agency for International Development (A.I.D.) Office of International Training (OIT)), is a financial accounting system. TCA was devised by A.I.D. as a result of A.I.D.'s concern for the spiraling costs associated with participant training and the Agency's inability to respond to questions regarding actual program costs.

TCA is a **project management system**. It was designed to assist A.I.D. staff in determining what activities should be included in the training process, who should be responsible for each part of the process, and what the estimated costs of the training project should be. TCA is also designed for use by contractors in the competitive bidding process. It requires contractors to use uniform definitions for training activities and to present cost proposals in a standardized format. By providing a standard format for cost proposals, it will be easier for A.I.D. technical review panels and contracting officers to identify costs which are not consistent with A.I.D. estimates nor with statements made in the technical proposal. A final step in the system, TA requires the use of a standardized reporting system by contractors which will enable A.I.D. to provide average cost data for each segment of the training process.

Missions will have certain responsibilities as will CLASP II contractors with regard to TCA.

Missions will:

- o use standard definitions with regard to reporting. These standard definitions are included in the TCA Glossary of Terms;

- o determine what activities are necessary for the participants who will be trained within the CLASP II framework. In order to identify these activities, Missions will need to use the TCA Checklist of Activities;

- o prepare a budget estimate using the TCA Budget Estimate Worksheet for all long-term and short-term individuals and groups who will receive participant training. This estimate must include costs for the following:

- Education and Training
- Allowances
- Travel
- Insurance

- Supplemental Activities
- Administrative Costs;

- o when contracting out for participant training activities, be required to initiate Requests for Proposals (RFPs) from potential contractors. RFPs will include TCA Proposal Worksheets which will be completed by contractors identifying the offerers proposed costs;

- o review Contractors' offers and proposed costs using the TCA Cost Analysis Worksheet and determine the best offer based on reasonableness of cost; and

- o track and monitor the costs expended against the actual contractor budgets from reports received on a quarterly basis from contractors providing participant programming. Because CLASP II differs in some respects from other Participant Training programs, there is some additional information necessary for project management for CLASP II. Therefore, Missions will have to review Contractors' TCA CLASP Summary Reports, review Training Implementation Plans (TIPs) and TIP budgets and Budget Amendments using TCA format.

Contractors will be required to:

- o submit Cost Proposals in TCA format during the Request for Proposal (RFP) process;

- o upon award of contract and final negotiation of the CLASP II contractor's budget, submit reports to the Mission and the LAC Bureau detailing the expenses against the budget;

- o submit an annual report summary in the form of the CLASP TCA Summary Report (an addition to the 4th quarter TCA Quarterly Report; and

- o prepare and submit TIP Budgets for the five program areas required in TCA and the amendments to those TIP Budgets once expenditures and final costs are known.

This annex is divided into Mission TCA and Contractor TCA requirements with the inclusion of necessary forms, references to Handbook 10, and examples when appropriate.

Finally, it is appropriate to note that Handbook 10 establishes that any A.I.D. money used for the training of participants requires the TCA system from budgeting to reporting of expenditures as of October 1, 1988. It will be necessary for any Mission personnel working with the TCA system to be familiar with the definitions used in TCA and found in the **GLOSSARY OF TERMS** included in this appendix as Attachment 1.

IDENTIFICATION OF APPROPRIATE ACTIVITIES FOR CLASP II PARTICIPANTS

For each participant in the CLASP II program, it is necessary for the Mission to have some conceptual plan as to what each individual or groups of individuals are to receive in the way of a training program appropriate to the needs of the participant and to make a substantive contribution to the participant's career and leadership ability. These activities will then include those supplemental activities which may be provided by the Mission, the Host Country, the Contractor, and/or the Office of International Training.

It is this assessment that will assist the Mission in determining a realistic budget for each participant or group heading to the U.S. for Training. Those activities which are identified in this assessment which require the support of a Contractor, are those which are in turn identified in the Statement of Work in the RFP.

Attachment 2 is a copy of the Checklist of activities. The columns across the top of the form identify the sources available to provide those activities listed in the Checklist.

The activities listed are arranged as Pre-program and In-Program activities. It is essential that the Mission have a clear understanding of the activities necessary for each group in order to develop a TCA budget estimate.

Examples of Pre-program activities:

- recruitment
- screening
- pre-departure orientation

Examples of In-program activities:

- reception services
- Mid-winter seminars
- Health and Accident Coverage (HAC)

Therefore, if the pre-program activities will be provided by the Mission, the Insurance by OIT and the reception services and Mid-winter seminars will be provided by the contractors, those services should be identified and included in the RFP in order for the contractor to budget for those activities.

PREPARING A BUDGET ESTIMATE USING TRAINING COST ANALYSIS

The Budget Estimate Worksheet is included as Attachment 3. This form lists all the possible participant training activities necessary for a CLASP II participant meet the training objectives. These activities are also those which are listed in the **Checklist of Activities**. To prepare a realistic budget estimate, the preparer must remember several key points:

- o Academic and technical participants are prepared on separate budgets and combined in the summary report.

As stated in the TCA Glossary of Terms, academic training leads to a degree; technical training is all other training not defined as academic training. Generally, technical training is synonymous with short-term training, and academic training is synonymous with long-term. In the case of CLASP II, short-term refers to those programs less than nine months and long-term refers to those programs longer than nine months.

- o Program costs must be separated from administrative costs and are those costs associated with actual delivery of training. If the cost is related to the management of participants and not the actual delivery of training, the cost is administrative.

- o Five program areas must be considered in the estimate process: education/training; allowances; travel; insurance; and supplemental activities and then the administrative costs for those five program areas.

- o A budget estimate must be prepared for each participant for each year of the project and each year of training. It is important to inflate costs for projected years. An inflation factor of 6% is suggested for education/training costs; an inflation factor of 4% is suggested for the other program costs. However, TCA is flexible to allow the Mission to determine its own costs based on experience.

- o The number of participant months must be projected. Participant months is determined by multiplying the total number of months of training by the total number of participants for the year being budgeted.

- o The allowance and insurance costs are available based on the most current A.I.D. Training Notices, (current allowances are as of 1/1/89 from the Office of International Training).

- o The budget line items on TCA forms add up to the total lines rather than down as on traditional budget forms.

- o Administrative costs are only an estimate at the Mission level and benchmarks can be used (\$200-300 per participant month which are the costs used by OIT programming agents) or a per cent of program costs (15-20 per cent of program costs).

PREPARING A PROPOSAL WORKSHEET USING TRAINING COST ANALYSIS

The proposal worksheet is a contractor responsibility. This form is exhibited as Attachment 4. The proposal worksheet is completed in response to the Request for Proposal (RFP) and should detail the costs outlined in the offeror's technical proposal. This form is exactly like the Budget Estimate Worksheet, however, the section on Administrative Costs must include:

- o the offeror's overhead rate
- o negotiated indirect cost rate
- o fixed fee
- o proposed salaries
- o all direct costs to the administration of this contract

A suggestion should be made in the RFP for the offerors to submit a cost proposal narrative to explain their costs.

In essence, this is the CLASP II contractors' best estimate of the actual costs to perform the tasks that have been outlined in the RFP statement of work and in the offeror's technical approach to conducting those tasks.

Several important pieces of information must be included in the RFP if contractors are to submit realistic cost estimates:

- o inflation rates: they should be told what factor to use for education costs and other costs
- o total number of academic trainees and length of training
- o total number of technical trainees and length of training
- o estimated start and completion date of contract
- o timing of English Language Training
- o all supplemental activities the Mission expects the contractor to provide.

COMPARING COSTS OF PROPOSALS USING THE PROPOSAL ANALYSIS WORKSHEET IN TRAINING COST ANALYSIS

The Proposal Analysis worksheet, Attachment 5, is a form to assist the Mission in analyzing the costs proposed by those offerors who have been ranked as having the best technical proposals for carrying out the tasks identified in the RFP, Statement of Work.

The form allows for three proposals (A, B, and C) to be compared to the Mission (or Agency) estimate completed on the Budget Estimate Worksheet. Once these costs are compared, the panel reviewing these costs can ask the offeror to submit a Best and Final Offer (BAFO) by addressing concerns identified in both the technical and cost proposals. Once those BAFOs are resubmitted, the Proposal Analysis Worksheet should again be used to show the comparison of costs and assist the Mission in awarding the CLASP II contract to the contractor (offeror) who has exhibited "reasonableness of cost". Awards should not be made on cost alone. The estimate produced by the Mission should be the basis for the questions asked in the Best and Final Offer negotiations. Low costs could mean that the tasks cannot be accomplished for the amount of money quoted.

A suggestion: CLASP II Technical Review Panels should be used after their review and ratings by the Cost Review Panel to assist in determining "Reasonableness of Cost" and in identifying concerns about the costs presented. In other words, if the Technical Review people have selected top proposal offers based on what the offerer stated could be done, it seems appropriate for this review to have some relevance to the costs proposed, e.g., "they can't do what they said they would do for this amount of money".

REPORTING EXPENSES AGAINST CONTRACT BUDGETS, USING TRAINING COST ANALYSIS

In order for the A.I.D. Mission to track and monitor the costs associated with participant programming, it is necessary for contractors to report their expenditures against approved budgets. To do this, reports are required for five program areas: Education and Training; Allowances; Travel; Insurance; and Supplemental Activities. Also required is the reporting of program administration.

It is important for Missions to include a copy of the TCA Quarterly Report (See Attachment 6) in the RFP as well as the due dates and designated offices to receive this report. It is suggested that the Mission require the reporting within thirty (30) days after the end of each quarter of the fiscal year. This report is to be sent to:

- o The Mission
- o LAC/DR/EST
- o OIT

CLASP II contractors must also report additional information which is TCA-related but does not appear on the TCA Quarterly Report. The TCA CLASP Summary Report (see Attachment 7) is an annual report which should be included as an attachment to the **4th quarter TCA Quarterly Report**. The CLASP Summary report is distributed to the Mission and LAC only. It does not go to OIT.

Finally, the only other TCA-related requirements with regard to reporting is with the HANDBOOK 10 requirement of a TRAINING IMPLEMENTATION PLAN (TIP). TIPs are required for every participant programming that occurs for A.I.D. TIPs are required to have a TIP Budget included. Because this budget is often amended and Missions need to know the dollar amount of difference between the original estimate and the actual budget, a TIP Budget form includes a column for the budgeted amount, a column for the budget amendment, a column for expended, and a column to report the dollars remaining.

For technical training programs of short (less than 3 month) duration, this form will be submitted twice: once with the TIP and again after training has been completed and all costs associated with a program are final. For Academic programs, this form should be completed and submitted with the TIP. It should be revised and submitted whenever there is a significant budget amendment which might affect overall Mission projections. Finally, it should be submitted at the end of a training program when all costs are final. The CLASP TIP Budget is included as Attachment 8.

GLOSSARY OF TRAINING COSTS ANALYSIS (TCA) TERMS

Academic Training: A program, leading to an academic degree, in an accredited institution of higher education.

Academic Up-grade: Specific training given to overcome academic/technical deficiencies in a participant's background in preparation for beginning a full technical or academic program. This training can be given in the host country, a third country or the U.S.

Administrative Costs: Those cost related to the management of participants, not the actual delivery of training. These cost will include:

- Salaries
- Indirect Cost
- Subcontracts (for participant management and related activities)
- Consulting Fees (for participant management and related activities)
- Equipment (expendable and capital — not used by the participants)
- Other Direct Costs (telephone, postage, supplies, equipment, word processing, computer processing)
- Overhead/General and Administrative (G&A)
- Fixed Fee or Profit

Allowances: Allowances are those rates set by A.I.D.'s Office of International Training which cover maintenance, per diem, and attendant costs of participating in an educational program such as books, typing, professional memberships, etc.

Information on allowances is contained in A.I.D.'s Handbook 10 which is updated through periodic release of Training Notices. These are provided to Mission personnel and contractors whenever changes are made to allowances.

Participant Training Notices on allowances are available from:

The Agency For International Development
Office of International Training (OIT)
SA-16
Washington, D. C. 20523

Career Development: (See Follow-up and Career Development)

Consulting Fees: Consulting fees may be categorized into two parts: (1) fees paid to consultants for providing training; and (2) fees paid to consultants for assisting in some phase of the management of participants, e.g., setting up computer tracking systems.

Cooperative Training: (See Internship/Cooperative

Training)

Counseling: Activities involved with assisting participants to identify and resolve personal or training situations/problems which are adversely affecting performance.

Documentation: The process of providing the Mission or A.I.D. office with all relevant forms and information needed to begin participant's programming and placement.

Documentation normally takes place in the host country. The process includes the collection of information needed to develop the PIO/P (including transcripts/TOEFL scores) and the preliminary identification of training opportunities which best meet the training objectives.

NOTE: Health clearances, passport photographs, and bio-data should also be collected at this time.

English Language Training (ELT): English language training provided prior to, or in conjunction with, the program of study.

Enrichment Programs: Activities designed to provide participants with cultural/social/educational experiences geared to furthering their understanding of U.S. institutions and mores. These programs are conducted as an adjunct to technical or academic training provided in the U.S.

Equipment, Contractor: (See Federal Acquisition Regulations)

Escort Services: (See Interpreter and Escort Services)

Evaluation: The process of measuring the effectiveness of a participant's training program in achieving the goals and objectives identified by the PIO/P. Tools used to measure program effectiveness both during and after training include post program language testing, on-site training questionnaires and exit interviews and may extend to long term assessments of the impact of the program on the project/country.

Fixed Fee/Profit: (See Federal Acquisition Regulations)

Follow-up and Career Development: Activities which build on the training experience and which are designed to encourage and equip participants to remain professionally involve in their field.

Typical follow-up activities include: encouraging communication among participants; publication of newsletters; promoting membership in returned participant organizations; promoting professional memberships/meetings; use of host country follow-up in conjunction with a program evaluation.

Overhead/General & Administrative (G&A): (See Federal Acquisition Regulations)

Package Programs: Programs of training or instruction where the payment made to the vendor includes the instructional cost, supplies/equipment, and lodging. Some package programs will also include board (food). Both types of packages are to be included in the line item "Packaged Programs."

Participants: Foreign nationals sponsored by A.I.D. to receive training outside their home countries, under A.I.D. sponsorship. This may include those whose training programs are funded by A.I.D. loans or grants, those under partial A.I.D. funding and those whose training is paid for by other than U.S. resources but are granted a visa to study in the U.S. by A.I.D. As used herein, the term participant is a shortened title for "United States A.I.D. Participant," used since the early years of United States Technical Assistance denoting a "participant in development." Participants' programs are managed either by OIT, an A.I.D. Mission, and A.I.D. contractor, or a host country.

NOTE: Foreign nationals on international travel orders or financed under general support grants are not considered participants.

Placement: The process of enrolling participants in the selected training program and negotiating appropriate courses or study programs.

Placement is a companion to Programming and is often done at the same time. It may be necessary to modify the training plan to reflect reality once the placement process has begun. The student with less than adequate preparation may have to begin at a more rudimentary level of study than initially anticipated in the training plan. Because placement determines the participant's training location, housing arrangements -- although technically programming -- are often made at this time.

Professional Enrichment: (See Enrichment Programs)

Profit: (See Fixed Fee/Profit) (See Federal Acquisition Regulations)

Programming: The process of analyzing participants' training/education credentials against the training goals and objectives of the PIO/P.

Programming is a companion to Placement and is often done at the same time. The Mission reviews and approves the program. Programming agents may use a variety of mechanisms to gain Mission concurrence. OIT programming agents provide the mission with a Training Implementation Plan (TIP) and is suggested that a similar document be required from all contractors and Missions.

Reception Services: Meeting the participant upon arrival in the country of training. Reception services should be

provided at the ultimate destination and may take place at the initial arrival point if it is determined that the participant will need assistance with layover accommodations or travel connections.

Recruitment: The process of identifying candidates for a training program. Recruitment may be done using host country mass media, host agency training announcement, staff available under ongoing USAID projects, in-country or home office consultants/staff or any other means available to attract candidates.

Reporting/Monitoring: (See Monitoring/Reporting)

Salaries: (See Federal Acquisition Regulations)

Screening: The process of reviewing candidate applications, interviewing participants, and making recommendations for final selection. Screening may involve the use of A.I.D. direct hire staff, contractor staff and/or local committees. The screening process may require that preliminary testing be done to assess the candidates' suitability of training.

Selection: The process of choosing qualified candidates for education, training, or observation tours. Selection activities include: developing selection criteria (e.g., English language test scores); candidate interviews; candidate credential reviews; shared cost negotiation for the proposed training. Final selection approval is provided by A.I.D.

Short-term Training: (Also known as Technical Training.) Training which is not designed to lead to the awarding of an academic degree.

Social/Professional Enrichment: (See Enrichment Programs)

Subcontracts: Contracts let by the prime contractor to another entity for the performance of a segment of the contract.

Technical Training: All training not classified as academic training. Technical training may take the form of observational visits, on-the-job training (OJT), special seminars or programs, workshops, and non-degree training in academic institutions.

Testing: The process of examining and/or evaluating, in the host country, participants' skills and achievements for the purpose of properly selecting participants and placing them in appropriate programs. Testing may include the SAT, TOEFL, ALIGU, GRE, and/or GMAT, depending on availability within the host country. Testing of individual's English language skills is most frequently required.

Training Cost: Normally training costs refer to the cost of short-term programs. Academic programs may include attendance at short-term seminars, workshops, etc. and those costs would be training costs while the balance of the program cost would be included under tuition/fees.

Attachment 2

Instructions:

CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

The following Checklist of Activities in the Participant Training Process is a listing of some -- but not all -- of the components of a training program. Shown also are the key agents (i.e., Host Country, Mission, OIT, etc.) in the training process. The matrix thus established allows the project planner to identify both the activities appropriate to the planned program and the agents involved in each activity. From this checklist, program elements and principle agents can be identified. This assists the planner in including all appropriate activities and denoting the responsible agent(s) for each. The program element identification should facilitate development of RFPs.

Note again that this is merely a partial listing. The program planner will find it a convenient starting point and format. However, additional program elements must be added as appropriate for a complete identification of training components.

As this is a "checklist," place a checkmark following any activity relevant to the training program being planned. Check each agent who will be responsible for part or all of that activity. Add activities as appropriate and check each agent associated with those activities.

CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

NOTE. This list is not intended to be comprehensive. It is instead a basic framework from which all appropriate training project activities can be identified.

PRE-PROGRAM

Host Country Mission OIT Contractor Other

I. Recruitment, Including:

- Media advertisement and training announcements
- Visits to local agencies
- Preliminary interviews

<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

II. Screening & Selection, Including:

- Developing selection criteria
- ELT language screening, testing, & other exams
- Applications
- Interviewing
- Reviewing credentials
- Committee

<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

III. Testing (Host Country and U.S.), Including:

- TOEFL/ALIGU
- Graduate Records (GRE)
- Scholastic Aptitude (SAT)

<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

IV. Documentation (Host Country and U.S.), Including:

- PIO/P and bio data
- Transcripts
- Test Results
- Letters of reference
- Medical exam (clearance)
- IAP 66A (blue copy)
- PDF - Establish record

<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

V. Programming (Host Country and U.S.), Including:

- Analyzing credentials
- Selecting training institution
- Developing Training Implementation Plan (TIP)
- Arranging for program termination and departure

<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				
<input type="checkbox"/>				

129

CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

NOTE: This list is not intended to be comprehensive. It is instead a basic framework from which all appropriate training project activities can be identified.

PRE-PROGRAM (cont.)

	Host Country	Mission	OIT	Contractor	Other
VI. Placement (Host Country and U.S.), Including:					
o Negotiating participant's enrollment	<input type="checkbox"/>				
o Determining remedial training needs	<input type="checkbox"/>				
o Arranging housing and developing a meal plan	<input type="checkbox"/>				
VII. Allowance Payments					
	<input type="checkbox"/>				
VIII. Pre-Departure Orientation, Including:					
o Administrative Orientation	<input type="checkbox"/>				
o Cultural Orientation	<input type="checkbox"/>				
IX. Training (Host Country and U.S.), Including:					
o English Language Training (ELT)	<input type="checkbox"/>				
o Remedial math/science training	<input type="checkbox"/>				
o Academic (long-term) training	<input type="checkbox"/>				
o Technical (short-term) training	<input type="checkbox"/>				

IN-PROGRAM

X. Reception Service, Including:					
o Meeting at international airport & transportation to hotel	<input type="checkbox"/>				
XI. Interpreter and Escort Services, Including:					
o Short-term training or observation tour	<input type="checkbox"/>				
XII. Orientation, Including:					
o Cultural orientation	<input type="checkbox"/>				
o Administrative orientation	<input type="checkbox"/>				
o Academic program orientation	<input type="checkbox"/>				

130

CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

NOTE: This list is not intended to be comprehensive. It is instead a basic framework from which all appropriate training project activities can be identified.

131

<u>IN-PROGRAM</u> (cont.)	Host Country	Mission	OIT	Contractor	Other
XIII. Monitoring and Reporting, Including:					
○ Regular participant contact	<input type="checkbox"/>				
○ Reviewing Academic Enrollment and Term Reports (AETRs) and technical examinations	<input type="checkbox"/>				
○ Consulting with faculty	<input type="checkbox"/>				
○ Reporting to OIT on Participant Data Form (PDF) and Visa Renewal Form (IAP 66A)	<input type="checkbox"/>				
○ Reporting progress and financial status to A.I.D.	<input type="checkbox"/>				
XIV. Enrichment Programs, Including:					
○ Supplemental experiences in U.S. related to technical field	<input type="checkbox"/>				
○ Mid-Winter Community Seminars	<input type="checkbox"/>				
○ Other special programs	<input type="checkbox"/>				
XV. Health and Accident Coverage (HAC)					
○ Arranging for mandatory health insurance coverage	<input type="checkbox"/>				
XVI. Counseling, Including:					
○ Resolving personal problems that jeopardize program completion	<input type="checkbox"/>				
○ Handling accidents and deaths	<input type="checkbox"/>				
XVII. Follow-Up (Host Country and U.S.), Including:					
○ Membership in professional organizations	<input type="checkbox"/>				
○ Newsletters	<input type="checkbox"/>				
○ Returned participant organizations	<input type="checkbox"/>				
○ Follow-up training	<input type="checkbox"/>				
○ Training utilization assistance	<input type="checkbox"/>				
XVIII. Evaluation, Including:					
○ Exit interviews	<input type="checkbox"/>				
○ Evaluation questionnaires	<input type="checkbox"/>				
○ Course evaluations	<input type="checkbox"/>				
○ Analysis of project effectiveness	<input type="checkbox"/>				
○ Impact studies	<input type="checkbox"/>				

Attachment 3

Instructions:
BUDGET ESTIMATE WORKSHEET
ACADEMIC OR TECHNICAL COST

****Not All Activities Apply To All Programs; Select Only Those Items That Are Applicable To the Proposed Program****

General Instructions:

1. Use Budget Estimate Worksheet for all training programs. For training projects having more than one training program (academic and/or technical) complete a Budget Estimate Worksheet for each such program.

2. Prepare also a separate Budget Estimate Worksheet for each year of the training. Indicate the budget year and contract period (in years) in the "Project Year" space (e.g., "Project Year: 1 of 4 years" for the first year of a 4-year training project).

Prepare a separate budget estimate for all academic training and all technical training for the life of the project (total academic and a total technical training budget). Indicate "All academic training" or "All technical training" in the "Comments" space.

Make budget estimates in U.S. dollars.

Where further breakdown is desired (e.g., In-Country, U.S., Third Country), use the "Other (Mission Option)" space or breakout such costs using additional copies of worksheet. Identify breakdown in "Comments"

6. Specify the measurements used as "units" for entries under "Unit Price" (e.g., \$1150/semester, \$200/year, \$635/month, \$375/week, or \$75/participant (for flat rate items such as Professional Membership or Book Shipment)).

Specific Line Item Instructions:

Participant Type: Check the appropriate box in the upper right corner of pages 1 - 4 to indicate whether the budget estimate is for academic or technical training.

Participant Months: A measure of total participant months for both academic and technical training provides a standard measure of the amount of training being proposed or provided. Compute this figure for each year of the project and for the project life. Enter the appropriate

number in the space marked "Participant Months Projected (This Year) = _____."

Line I.A. Education/Training Costs: This line must be completed for all training programs. Complete lines I.A.1 - I.A.4 first. Then, enter the total number of participants for the contract year being reported.

(NOTE: This figure will not always equal the sum of "Number of Participants" proposed in lines I.A.1 - I.A.4.) Finally, enter the sum of the "Subtotal" amounts in the "Total" space.

Lines I.A.1 - I.A.4: Optional breakdown. The glossary (see Glossary of TCA Terms) defines (1) tuition/fees, (2) training costs, and (3) package program costs. The "Other (Mission Option)" category allows for special breakouts (e.g., a specially designed observation tour for academic participants for which a separate cost breakdown is desired).

For any of these lines, enter (a) the number of participants to incur the cost, (b) the total number of cost units (see item (6) under "General Instructions") for those participants in the contract year being costed, (c) the unit prices for each cost category, and (d) Education/Training Cost "Subtotals" (i.e., (b) x (c), above) for each line.

Line I.B. Allowances: This line must be completed for all training programs. USE CURRENT A.I.D. APPROVED RATES. As was done for line I.A., complete lines I.B.1 through I.B.10 first, then enter the sum of the "Subtotals" for those lines in the "Total" space for line I.B.

Lines I.B.1 - I.B.10: Optional breakdown. Definitions and approved rates for these cost items are contained in Handbook 10 and Participant Training Notices (see "Allowances" in Glossary). The "Other (Mission Option)" category allows for special breakouts (e.g., books used in English Language Training, ELT). For instructions on specific column entries, follow instructions for Lines I.A.1 through I.A.4.

Instructions:
BUDGET ESTIMATE WORKSHEET
SUMMARY

General Instructions:

1. Use Budget Estimate Worksheet to summarize project training costs for each project year and for the entire project life. Data will be transferred from previously completed budget estimates for all training programs.
2. Two columns are to be completed for Academic Training data and two for Technical Training. In both cases, the information required is (a) the number of participants budgeted for the cost item and/or category and (b) the total cost for that item or category. These figures are directly transferred from Budget Estimate Worksheet pages 1-4.
3. Prepare a separate budget estimate summary for each year of the training. Indicate the budget year and contract period (in years) in the "Project Year" space (e.g., "Project Year: 1 of 4 years" for the first year of a 4-year training project).

Specific Line Item Instructions:

Line I.A. Education/Training Costs: From Line I.A. of all academic program budget estimate worksheets add the "Number of Participants" numbers (for the year being summarized) and enter this sum in the first data column ("Academic Training --# of Part.") on Line I.A.

From Line I.A. of all academic program budget estimate worksheets add the "Total numbers (for the year being summarized) and enter this sum in the second data column ("Academic Training--Item Cost") on Line I.A.

Repeat the above two computations for all technical program budget estimate worksheets and enter in their corresponding spaces.

Add the "Item Costs" for Academic and Technical Train-

ing (data columns 2 and 4) and enter the sum in the fifth data column ("Line Total") on Line I.A.

Lines I.A.1 - I.E.12: All remaining lines in Summary, sections I.A.1 - I.E.12, are completed in a corresponding manner to items in Line I.A as described above. For example, "Academic Training--# of Part." sums are computed by adding the "Number of Participants" figures from all academic training programs for the corresponding cost element. Likewise for all "Academic Training--Item Costs." All "Technical Training--# of Part." sums are computed by adding the "Number of Participants" figures from all technical training programs for the corresponding cost element. Likewise for all "Technical Training--Item Costs."

TOTAL PARTICIPANT COSTS (Academic & Technical): The yearly total of participant costs can now be computed. Enter the project year (or write "all" for the total project) in the "Year _____" space. Add lines I.A. through I.E. and enter the total in the "TOTAL PARTICIPANT COSTS (Academic & Technical)" space.

Lines II.F. - II.F.8: Budget Estimate Worksheet page 8 is identical in format to Budget Estimate Worksheet page 4. To compute the value for any cost space on the Summary sheet, add the corresponding values from page(s) and enter that sum in the corresponding space on the Summary sheet.

TOTAL TRAINING COST (A+B+C+D+E+F): Values for each of the five spaces on this line are computed in a similar manner. For Year 1, add the "Item Cost" figures for elements A-E, Year 1. To this subtotal, add II.F, Year 1 (Administrative Costs). This sum is the total training cost for Year 1.

Compute totals for other years in a similar manner.

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs

Training Cost Analysis (TCA)

SEE "Instructions: Budget Estimate Worksheet"

Academic

Technical

PROJECT TITLE	PROJECT NUMBER	PROJECT YEAR ____ OF ____ Years
PROJECT WRITER	PARTICIPANT MONTHS PROJECTED (THIS YEAR)	DATE BUDGET PREPARED
COMMENTS:		

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS*	UNIT PRICE*	SUBTOTAL	TOTAL
A. Education/Training Cost					
1. Tuition/Fees			\$ /	\$	
2. Training Costs			/		
3. Package Program Costs			/		
4. Other (Mission Option)			/		
B. Allowances					
1. Maintenance Advance			/		
2. Living/Maintenance			/		
3. Per Diem			/		
4. Books & Equipment			/		
5. Book Shipment			/		
6. Typing (papers) - <i>Academic Only</i>			/		
7. Thesis - <i>Academic Only</i>			/		
8. Doctoral Dissertation - <i>Academic</i>			/		
9. Professional Membership			/		
10. Other (Mission Option)			/		

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

134

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
Training Cost Analysis (TCA)

**SEE "Instructions: Budget Estimate Worksheet" **

Academic
 Technical

PROJECT NUMBER	COMMENTS
----------------	----------

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS*	UNIT PRICE*	SUBTOTAL	TOTAL
C. Travel					\$
1. International			\$ /	\$	
2. Local			/		
3. Other (Mission Option)			/		
D. Insurances					
1. HAC for U.S.			/		
2. Required by Institution			/		
3. Other (Mission Option)			/		
E. Supplemental Activities					
1. ELT, In-Country			/		
2. ELT, U.S.			/		
3. Academic Up-Grade			/		
4. Reception Services			/		
5. WIC Orientation			/		
6. Other Orientation			/		
7. Interpreters/Escorts			/		
8. Internship/Cooperative			/		
9. Enrichment Programs			/		

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

135

BUDGET ESTIMATE WORKSHEET - ACADEMIC OR TECHNICAL COSTS
Training Cost Analysis (TCA)

Academic
 Technical

PROJECT NUMBER	COMMENTS:
----------------	-----------

II: ADMINISTRATIVE COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	YEAR 1	YEAR 2	YEAR 3	YEAR 4	TOTAL
II.F. Administrative Costs	\$	\$	\$	\$	\$
1. Salaries (Total)					
a. Professional					
i. U.S.					
ii. Field					
b. Support Staff					
i. U.S.					
ii. Field					
2. Fringe Benefits					
3. Travel (Total)					
a. International					
b. Local					
4. Consultant Fees (Total)					
a. United States					
b. Field					
5. Equipment					
6. Sub-Contracts					
7. Indirect Costs					
8. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A+B+C+D+E+F)	\$	\$	\$	\$	\$

137

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

SEE "Instructions: Budget Estimate Worksheet - Summary"

- Academic
 Technical

PROJECT NUMBER

COMMENTS:

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC TRAINING		TECHNICAL TRAINING		LINE TOTAL
	No. of Participants	Item Cost	No. of Participants	Item Cost	
C. Travel		\$		\$	\$
1. International					
2. Local					
3. Other (Mission Option)					
D. Insurances					
1. HAC for U.S.					
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities					
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Programs					

128

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

Academic
 Technical

PROJECT NUMBER	COMMENTS:
----------------	-----------

II. ADMINISTRATIVE COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	YEAR 1	YEAR 2	YEAR 3	YEAR 4	TOTAL
II.F. Administrative Costs	\$	\$	\$	\$	\$
1. Salaries (Total)					
a. Professional					
i. U.S.					
ii. Field					
b. Support Staff					
i. U.S.					
ii. Field					
2. Fringe Benefits					
3. Travel (Total)					
a. International					
b. Local					
4. Consultant Fees (Total)					
a. United States					
b. Field					
5. Equipment					
6. Sub-Contracts					
7. Indirect Costs					
8. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A+B+C+D+E+F)	\$	\$	\$	\$	\$

01/1

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

SEE "Instructions: Budget Estimate Worksheet - Summary"*

Academic

Technical

PROJECT TITLE	PROJECT NUMBER	PROJECT YEAR ____ Of ____ Years
PROJECT WRITER	PARTICIPANT MONTHS PROJECTED (THIS YEAR)	DATE BUDGET PREPARED
COMMENTS		

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC TRAINING		TECHNICAL TRAINING		LINE TOTAL
	No. of Participants	Item Cost	No. of Participants	Item Cost	
A. Education/Training Cost		\$		\$	\$
1. Tuition/Fees					
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
B. Allowances					
1. Maintenance Advance					
2. Living/Maintenance					
3. Per Diem					
4. Books & Equipment					
5. Book Shipment					
6. Typing					
7. Thesis					
8. Doctoral Dissertation					
9. Professional Membership					
10. Other (Mission Option)					

1/1

Attachment 4

Instructions:

PROPOSAL WORKSHEET

This Worksheet may be used by the perspective contractor/implermentor of the project. It and its accompanying instructions may be included in the RFP

*****Not All Activities Apply To All Programs; Select Only Those Items That Are Applicable To the Proposed Program*****

General Instructions:

1. Use the Proposal Worksheet for all training programs. For training projects having more than one training program (academic and/or technical) complete a Proposal Worksheet for each such program.
2. Prepare also a separate Proposal Worksheet for each year of the training. Indicate the budget year and contract period (in years) in the "Project Year" space (e.g., "Project Year: 1 of 4 years" for the first year of a 4-year training project).
3. Prepare a separate proposal for all academic training and all technical training for the life of the project (a total academic and a total technical training budget). Indicate "All academic training" or "All technical training" in the "Comments" space.
4. Make budget estimates in U.S. dollars.
5. Where further breakdown is desired (e.g., In-Country, U.S., Third Country), use the "Other (Mission Option)" space or breakout such costs using additional copies of this worksheet. Identify breakdown in "Comments" space.
6. Specify the measurements used as "units" for entries under "Unit Price" (e.g., \$1150/semester, \$200/year, \$635/month, \$375/week, or \$75/participant (for flat rate items such as Professional Membership or Book Shipment)).
7. Administrative costs are estimated by categories. The RFP will indicate which functions are required of the contractor. The proposed costs should reflect the level of effort proposed for each function

Specific Line Item Instructions:

Training Type: Check the appropriate box in the upper right corner of pages 1-4 to indicate whether the budget

estimate is for academic or technical training.

Participant Months Proposed: A measure of total participant months for both academic and technical training provides a standard measure of the amount of training being proposed or provided. Compute this figure for each year of the project and for the project life.

Line I.A. Education/Training Costs: This line must be completed for all training programs. Complete lines I.A.1 - I.A.4 first. Then, enter the total number of participants for the contract year being reported.

(NOTE: This figure will not always equal the sum of "Number of Participants" proposed in lines I.A.1 - I.A.4.) Finally, enter the sum of the "Subtotal" amounts in the "Total" space.

Lines I.A.1 - I.A.4: Optional breakdown. The glossary (see Glossary of TCA Terms) defines (1) tuition/fees, (2) training costs, and (3) package program costs. The "Other (Mission Option)" category allows for special breakouts (e.g., a specially designed observation tour for academic participants for which a separate cost breakdown is desired).

For any of these lines, enter (a) the number of participants to incur the cost, (b) the total number of cost units (see item (6) under "General Instructions") for those participants in the contract year being costed, (c) the unit prices for each cost category, and (d) Education/Training Cost "Subtotals" (i.e., (b) x (c), above) for each line.

Line I.B. Allowances: This line must be completed for all training programs. USE CURRENT AID APPROVED RATES. As was done for line I.A., complete lines I.B.1 through I.B.10 first, then enter the sum of the "Subtotals" for those lines in the "Total" space for line I.B.

Lines I.B.1 - I.B.10: Optional breakdown. Definitions and approved rates for these cost items are contained in

**PROPOSAL WORKSHEET: Academic or Technical Costs
Training Cost Analysis (TCA)**

**SEE "Instructions: Proposal Worksheet" **

- Academic
 Technical

PROJECT TITLE	RFP NUMBER	PROJECT YEAR _____ Of _____ Years
IMPLEMENTOR/CONTRACTOR	PARTICIPANT MONTHS PROJECTED (THIS YEAR)	DATE PREPARED

COMMENTS:

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS*	UNIT PRICE*	SUBTOTAL	TOTAL
A. Education/Training Cost					\$
1. Tuition/Fees			\$ /	\$	
2. Training Costs			/		
3. Package Program Costs			/		
4. Other (Mission Option)			/		
B. Allowances					
1. Maintenance Advance			/		
2. Living/Maintenance			/		
3. Per Diem			/		
4. Books & Equipment			/		
5. Book Shipment			/		
6. Typing (papers) - <i>Academic Only</i>			/		
7. Thesis - <i>Academic Only</i>			/		
8. Doctoral Dissertation - <i>Academic</i>			/		
9. Professional Membership			/		
10. Other (Mission Option)			/		

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

1/13

PROPOSAL WORKSHEET: Academic or Technical Costs
Training Cost Analysis (TCA)

**SEE "Instructions: Proposal Worksheet" **

Academic
 Technical

PROJECT TITLE	RFP NUMBER	YEAR _____ OF _____
IMPLEMENTOR/CONTRACTOR	COMMENTS:	

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS*	UNIT PRICE*	SUBTOTAL	TOTAL
C. Travel					\$
1. International			\$ /	\$	
2. Local			/		
3. Other (Mission Option)			/		
D. Insurances					
1. HAC for U.S.			/		
2. Required by Institution			/		
3. Other (Mission Option)			/		
E. Supplemental Activities					
1. ELT, In-Country			/		
2. ELT, U.S.			/		
3. Academic Up-Grade			/		
4. Reception Services			/		
5. WIC Orientation			/		
6. Other Orientation			/		
7. Interpreters/Escorts			/		
8. Internship/Cooperative			/		
9. Enrichment Programs			/		

14/11

**PROPOSAL WORKSHEET: Summary
Training Cost Analysis (TCA)**

Academic
 Technical

PROJECT TITLE		RFP NUMBER	YEAR _____ OF _____
IMPLEMENTOR/CONTRACTOR		COMMENTS:	

I T E M	C O S T		
	Academic	Technical	Total
I. PARTICIPANT COSTS:	\$	\$	\$
A. Education/Training Costs			
B. Allowances			
C. Travel			
D. HAC			
E. Supplemental Activities			
Total Participant Costs:	\$	+ \$	= \$

147

II.F. ADMINISTRATIVE COSTS:	\$	\$	\$
1. Salaries (Total)			
2. Fringe Benefits			
3. Travel (Total)			
4. Consultant Fees (Total)			
5. Equipment			
6. Sub-Contracts			
7. Indirect Costs			
8. Other (Mission Option)			
Total Administrative Costs:	\$	+ \$	= \$
GRAND TOTAL, TRAINING COSTS =	\$	+ \$	= \$

ANALYSIS WORKSHEET: Summary
Training Cost Analysis (TCA)
*** SEE "Instructions: Analysis Worksheet" on Reverse ***

Academic
 Technical

PROJECT TITLE	PROJECT NUMBER
EVALUATOR	DATE

NAME OF OFFEROR:	PROPOSAL A	PROPOSAL B	PROPOSAL C	A.I.D. ESTIMATE
------------------	------------	------------	------------	-----------------

I T E M	RATING: = _____ COST	RATING: = _____ COST	RATING: = _____ COST	COST
I. PARTICIPANT COSTS:	\$	\$	\$	\$
A. Education/Training Costs				
B. Allowances				
C. Travel				
D. HAC				
E. Supplemental Activities				
Total Participant Costs:	\$	\$	\$	\$
II.F. ADMINISTRATIVE COSTS:	\$	\$	\$	\$
1. Salaries (Total)				
2. Fringe Benefits				
3. Travel (Total)				
4. Consultant Fees (Total)				
5. Equipment				
6. Sub-Contracts				
7. Indirect Costs				
8. Other (Mission Option)				
Total Administrative Costs:	\$	\$	\$	\$
GRAND TOTAL, TRAINING COSTS =	\$	\$	\$	\$

3/11

Attachment 5

PROPOSAL ANALYSIS WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

Academic
 Technical

** SEE "Instructions: Analysis Worksheet" on Reverse, Page 2 **

PROJECT TITLE	PROJECT NUMBER
EVALUATOR	DATE

NAME OF OFFEROR:	PROPOSAL A	PROPOSAL B	PROPOSAL C	A.I.D. ESTIMATE
ITEM	RATING: = COST	RATING: = COST	RATING: = COST	COST
I. PARTICIPANT COSTS (Academic)	\$	\$	\$	\$
A. Education/Training Costs				
B. Allowances				
C. Travel				
D. HAC				
E. Supplemental Activities				
Sub-Total Participant Costs:	\$	\$	\$	\$
II.F. ADMINISTRATIVE COSTS:	\$	\$	\$	\$
1. Salaries (Total)				
2. Fringe Benefits				
3. Travel (Total)				
4. Consultant Fees (Total)				
5. Equipment				
6. Sub-Contracts				
7. Indirect Costs				
8. Other (Mission Option)				
Sub-Total Administrative Costs:	\$	\$	\$	\$
TOTAL TRAINING COSTS =	\$	\$	\$	\$

6/1/19

Attachment 6

**QUARTERLY REPORT: Academic Programs
Training Cost Analysis (TCA)**

****SEE "Instructions: Quarterly Report", Reverse of Page 4****

PROJECT TITLE	PROJECT NUMBER	IMPLEMENTOR
CONTRACT QUARTER _____ of _____	REPORT PERIOD	DATE

I. PARTICIPANT TRAINING COSTS

ACADEMIC PROGRAMS:	BUDGET	PROJECTED THIS QUARTER	EXPENDED THIS QUARTER	EXTENDED TO DATE	BALANCE REMAINING	% OF BUDGET
A. Education/Training Cost	\$	\$	\$	\$	\$	%
B. Allowances						%
C. Travel						%
D. HAC						%
E. Supplemental Activities						%
Total. Academic Costs	\$	\$	\$	\$	\$	%

THIS QUARTER:

Number of Participant Months Projected: _____

Number of Participant Months Completed: _____

TOTAL PROJECT:

Number of Participant Months Projected: _____

Number of Participant Months Completed: _____

150

QUARTERLY REPORT: Technical Programs
Training Cost Analysis (TCA)

****SEE "Instructions: Quarterly Report", Reverse of Page 4****

PROJECT TITLE	PROJECT NUMBER	IMPLEMENTOR
CONTRACT QUARTER _____ of _____	REPORT PERIOD	DATE

I. PARTICIPANT TRAINING COSTS

ACADEMIC PROGRAMS:	BUDGET	PROJECTED THIS QUARTER	EXPENDED THIS QUARTER	EXTENDED TO DATE	BALANCE REMAINING	% OF BUDGET
A. Education/Training Cost	\$	\$	\$	\$	\$	%
B. Allowances						%
C. Travel						%
D. HAC						%
E. Supplemental Activities						%
Total, Academic Costs	\$	\$	\$	\$	\$	%

151

THIS QUARTER:

Number of Participant Months Projected: _____

Number of Participant Months Completed: _____

TOTAL PROJECT:

Number of Participant Months Projected: _____

Number of Participant Months Completed: _____

IMPORTANT: SPECIFY PROGRAM TYPE
(Check Only One Category)

Classroom Training

Observation Tour

On-the-Job Training

BY TYPE OF TRAINING

QUARTERLY REPORT: Technical Programs
 Training Cost Analysis (TCA)

SEE "Instructions: Quarterly Report", Reverse of Page 4

PROJECT TITLE	PROJECT NUMBER	IMPLEMENTOR
CONTRACT QUARTER _____ of _____	REPORT PERIOD	DATE

II. ADMINISTRATIVE COSTS

II. F. ADMINISTRATIVE COSTS	BUDGET	PROJECTED THIS QUARTER	EXPENDED THIS QUARTER	EXTENDED TO DATE	BALANCE REMAINING	% OF BUDGET
1. Salaries	\$	\$	\$	\$	\$	
2. Fringe Benefits						
3. Travel						
4. Consultants						
5. Equipment						
6. Sub-Contracts						
7. Indirect Costs						
8. Other						
II. F. TOTAL ADMINISTRATIVE COSTS	\$	\$	\$	\$	\$	
GRAND TOTAL, TRAINING COSTS:	\$	\$	\$	\$	\$	

153

NOTE: % Of Budget refers to that %age of the total budget (for each line) that has been spent.

$$\% \text{ of Budget} = \frac{[\text{Expended to Date}]}{[\text{Budget}]}$$

CLASP Training Implementation Plan (TIP) Budget Training Cost Analysis (TCA)				<input type="checkbox"/> Academic <input type="checkbox"/> Technical	
Project Number	PIO/P Number	Date / /	No. Trainers in group	Training Dates for this PIO/P From: / / To: / /	
PROGRAM CATEGORIES/TRAINING ACTIVITIES	BUDGETED	BUDGET AMENDMENT	EXPENDED	REMAINDER	
A. Education/Training Cost					
1. Tuition/Fees					
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
B. Allowances					
1. Maintenance Advance					
2. Living/Maintenance					
3. Per Diem					
4. Books & Equipment					
5. Book Shipment					
6. Typing					
7. Thesis					
8. Doctoral Dissertation					
9. Professional Membership					
10. Other (Mission Option)					
C. Travel					
1. International					
2. Local					
D. Insurance					
1. HAC for U.S.					
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities					
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC/Other Orientation					
6. Interpreters/Escorts					
7. Internship/Cooperative					
8. Enrichment Programs					
9. Mid-Winter Community Seminars					
10. Follow-Up/Career Development					
11. Other (Mission Option)					
TOTAL PROGRAM COSTS					

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT TITLE
 CLASS II

PROJECT NUMBER
 125-3687.10

TOTAL PROJECT
 3.00 YEARS

PROJECT WRITER

PARTICIPANT MONTHS PROJECTED
 (THIS YEAR) 63

DATE BUDGET PREPARED
 06/16/1989

COMMENTS:

Summary of Participant Costs for 1 Academic and 20 Technical Participants for three years.

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
A. Education/Training Cost	1	\$ 14,277.86	20	\$ 60,000.00	\$ 74,277.86
1. Tuition/Fees	1	\$ 14,277.86			\$ 14,277.86
2. Training Costs					
3. Frelage Program Costs			20	\$ 60,000.00	\$ 60,000.00
4. Other (Mission Option)					
B. ALLOWANCES	1	\$ 21,835.90	20	\$ 48,900.00	\$ 70,735.90
1. Maintenance Advance	1	\$ 1,950.00	20	\$ 39,000.00	\$ 40,950.00
2. Living/Maintenance	1	\$ 16,192.96			\$ 16,192.96
3. Per Diem	1	\$ 852.36	20	\$ 7,500.00	\$ 8,352.36
4. Books & Equipment	1	\$ 1,568.63	20	\$ 1,200.00	\$ 2,768.63
5. Book Shipment	1	\$ 129.79	20	\$ 1,200.00	\$ 1,329.79
6. Typing (papers) - Academic Only	1	\$ 624.32			\$ 624.32
7. Thesis - Academic Only	1	\$ 324.48			\$ 324.48
8. Doctoral Dissertation - Academic					
9. Professional Membership	1	\$ 243.36			\$ 243.36
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
C. Travel					
1. International	1	\$ 1,352.80	20	\$ 10,000.00	\$ 11,352.80
2. Local	1	\$ 1,352.80	20	\$ 10,000.00	\$ 11,352.80
3. Other (Mission Option)					
D. Insurances					
1. HAC for U.S.	1	\$ 820.52	20	\$ 1,360.00	\$ 2,180.52
2. Required by Institution	1	\$ 820.52	20	\$ 1,360.00	\$ 2,180.52
3. Other (Mission Option)					
E. Supplemental Activities					
1. ELT. In-Country	1	\$ 1,317.00	20	\$ 34,500.00	\$ 35,817.00
2. ELT. U.S.	1	\$ 380.00			\$ 380.00
3. Academic Up-Grade					
4. Reception Services			20	\$ 4,000.00	\$ 4,000.00
5. WIC Orientation	1	\$ 325.00	20	\$ 6,500.00	\$ 6,825.00
6. Other Orientation					
7. Interpreters/Escorts			20	\$ 24,000.00	\$ 24,000.00
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
125-3687.10

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars	1	\$ 612.00			\$ 612.00
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) = \$ 194,414.08

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

158

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

PROJECT TITLE CLAS 11	PROJECT NUMBER 125-3687.10	PROJECT YEAR 1 of 3.00 Years
PROJECT WRITER	PARTICIPANT MONTHS PROJECTED (THIS YEAR) 43	
COMMENTS:		DATE BUDGET PREPARED 06/16/1989

Summary for Year 1 for 1 Academic and 20 Technical Participants. (Participant Costs)

1. PARTICIPANT COST - SUMMARY					
PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
A. Education/Training Cost					
1. Tuition/Fees	1	\$ 2,850.00	20	\$ 60,000.00	\$ 62,850.00
2. Training Costs	1	\$ 2,850.00			\$ 2,850.00
3. Frelage Program Costs			20	\$ 60,000.00	\$ 60,000.00
4. Other (Mission Option)					
B. ALLOWANCES					
1. Maintenance Advance	1	\$ 4,120.00	20	\$ 48,900.00	\$ 53,020.00
2. Living/Maintenance	1	\$ 1,950.00	20	\$ 39,000.00	\$ 40,950.00
3. Per Diem	1	\$ 1,400.00			\$ 1,400.00
4. Tools & Equipment	1	\$ 375.00	20	\$ 7,500.00	\$ 7,875.00
5. Book Shipment	1	\$ 195.00	20	\$ 1,200.00	\$ 1,395.00
6. Typing (papers) - Academic Only	1	\$ 200.00	20	\$ 1,200.00	\$ 1,200.00
7. Thesis - Academic Only					\$ 200.00
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

159

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
C. Travel	1	\$ 500.00	20	\$ 10,000.00	\$ 10,500.00
1. International					
2. Local	1	\$ 500.00	20	\$ 10,000.00	\$ 10,500.00
3. Other (Mission Option)					
D. Insurances	1	\$ 102.00	20	\$ 1,360.00	\$ 1,462.00
1. HAC for U.S.	1	\$ 102.00	20	\$ 1,360.00	\$ 1,462.00
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities	1	\$ 1,005.00	20	\$ 34,500.00	\$ 35,505.00
1. ELT, In-Country					
2. ELT, U.S.	1	\$ 380.00			\$ 380.00
3. Academic Up-Grade					
4. Reception Services			20	\$ 4,000.00	\$ 4,000.00
5. WIC Orientation	1	\$ 325.00	20	\$ 6,500.00	\$ 6,825.00
6. Other Orientation					
7. Interpreters/Escorts			20	\$ 24,000.00	\$ 24,000.00
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

160

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars	1	\$ 300.00			\$ 300.00
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) = \$ 163,337.00

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary

Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT TITLE
CLASIF II

PROJECT NUMBER
125-3687.10

PROJECT YEAR
2 of 3.00 Years

PROJECT WRITER

PARTICIPANT MONTHS PROJECTED (THIS YEAR) 12
DATE BUDGET PREPARED 06/16/1989

COMMENTS:

Summary for Year 2 for 1 Academic and 20 Technical Participants. (Participant Costs)

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
A. Education/Training Cost					
1. Tuition/Fees	1	\$ 7,102.00			\$ 7,102.00
2. Training Costs	1	\$ 7,102.00			\$ 7,102.00
3. Package Program Costs					
4. Other (Mission Option)					
E. ALLOWANCES					
1. Maintenance Advance	1	\$ 9,989.20			\$ 9,989.20
2. Living/Maintenance	1	\$ 8,736.00			\$ 8,736.00
3. Per Diem	1	\$ 234.00			\$ 234.00
4. Books & Equipment	1	\$ 811.20			\$ 811.20
5. Book Shipment					
6. Typing (papers) - Academic Only	1	\$ 208.00			\$ 208.00
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 ICE-3687.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
C. Travel	1	\$ 312.00			\$ 312.00
1. International					
2. Local	1	\$ 312.00			\$ 312.00
3. Other (Mission Option)					
D. Insurances	1	\$ 424.32			\$ 424.32
1. HAC for U.S.	1	\$ 424.32			\$ 424.32
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities	1	\$ 312.00			\$ 312.00
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER 125-2687.10	COMMENTS
-------------------------------	----------

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars	1	\$ 312.00		\$	312.00
11. Follow-Up/Career Development					
12. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A + B + C + D + E) =					\$ 18,139.52

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

164

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

PROJECT TITLE CLASS 11	PROJECT NUMBER 125-3687.10	PROJECT YEAR 3 OF 3.00 Years
PROJECT WRITER	PARTICIPANT MONTHS PROJECTED (THIS YEAR) 8	DATE BUDGET PREPARED 06/16/1989

COMMENTS: Summary for Year 3 for 1 Academic and 20 Technical Participants (Participant Costs)

165

I. PARTICIPANT COST - SUMMARY					
PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
A. Education/Training Cost					
1. Tuition/Fees	11	\$ 4,325.86			\$ 4,325.86
2. Training Costs					\$ 4,325.86
3. Frilage Program Costs					
4. Other (Mission Option)					
B. ALLOWANCES					
1. Maintenance Advance	1	\$ 7,776.70			\$ 7,776.70
2. Living/Maintenance	1	\$ 6,056.96			\$ 6,056.96
3. Per Diem	1	\$ 243.36			\$ 243.36
4. Books & Equipment	1	\$ 562.43			\$ 562.43
5. Food/Shipent	1	\$ 129.79			\$ 129.79
6. Typing (papers) - Academic Only	1	\$ 216.32			\$ 216.32
7. Thesis - Academic Only	1	\$ 324.48			\$ 324.48
8. Doctoral Dissertation - Academic					
9. Professional Membership	1	\$ 243.36			\$ 243.36
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet - Summary" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3667.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
C. Travel	1	\$ 540.80			\$ 540.80
1. International					
2. Local	1	\$ 540.80			\$ 540.80
3. Other (Mission Option)					
D. Insurances	1	\$ 294.20			\$ 294.20
1. HAC for U.S.	1	\$ 294.20			\$ 294.20
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities					
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

•• SEE "Instructions: Budget Estimate Worksheet - Summary" ••

ACADEMIC
 TECHNICAL

PROJECT NUMBER
125-3657.10

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A + B + C + D + E) =					\$ 12,937.56

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

167

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet" **

PROJECT TITLE
 CLASS II, FIREFIGHTERS

PROJECT WRITER

PROJECT NUMBER
 1125-3687.10

ACADEMIC
 TECHNICAL

PROJECT YEAR
 1 of 3.00 Years

PARTICIPANT MONTHS PROJECTED
 (THIS YEAR) 40

DATE BUDGET PREPARED
 06/16/1989

COMMENTS:

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
A. Education/Training Cost					
1. Tuition/Fees Regular Session Summer Session	20				\$ 60,000.00
2. Training Costs	20	1	\$.00	\$.00	
3. Package Program Costs	20		\$ 3,000.00	\$ 60,000.00	
4. Other (Mission Option)					
B. ALLOWANCES					
1. Maintenance Advance	20				\$ 48,900.00
2. Living/Maintenance	20		\$ 1,950.00	\$ 39,000.00	
3. Per Diem	20	5	\$ 75.00	\$ 7,500.00	
4. Books & Equipment	20	2	\$ 60.00	\$ 1,200.00	
5. Robt. Shipment	20		\$ 60.00	\$ 1,200.00	
6. Typing (papers) - Academic Only					
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

168

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
C. Travel	20				\$ 10,000.00
1. International					
2. Local	20		\$ 500.00	\$ 10,000.00	
3. Other (Mission Option)					
D. Insurances	20				\$ 1,360.00
1. HAC for U.S.	20	2	\$ 34.00	\$ 1,360.00	
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities	20				\$ 34,500.00
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services	20		\$ 200.00	\$ 4,000.00	
5. WIC Orientation	20		\$ 325.00	\$ 6,500.00	
6. Other Orientation					
7. Interpreters/Escorts	20		\$ 1,200.00	\$ 24,000.00	
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

169

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 154,760.00

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

170

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC
 TECHNICAL

PROJECT TITLE
 CLASS II, AQUACULTURE

PROJECT NUMBER
 1125-3687.10

PROJECT YEAR
 1 of 3.00 Years

PROJECT WRITER
 AT

PARTICIPANT MONTHS PROJECTED
 (THIS YEAR) 3

DATE BUDGET PREPARED
 06/16/1989

COMMENTS:

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
A. Education/Training Cost	1				\$ 2,850.00
1. Tuition/Fees Regular Session Summer Session	1	1	\$ 2,850.00	\$ 2,850.00	
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
B. ALLOWANCES	1				\$ 4,120.00
1. Maintenance Advance	1		\$ 1,950.00	\$ 1,950.00	
2. Living/Maintenance	1	2	\$ 700.00	\$ 1,400.00	
3. Per Diem	1	5	\$ 75.00	\$ 375.00	
4. Books & Equipment	1	3	\$ 65.00	\$ 195.00	
5. Book Shipment					
6. Typing (papers) - Academic Only	1		\$ 200.00	\$ 200.00	
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

171

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-7687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
C. Travel	1				
1. International					\$ 500.00
2. Local	1		\$ 500.00	\$ 500.00	
3. Other (Mission Option)					
D. Insurances	1				
1. HAC for U.S.	1	3	\$ 34.00	\$ 102.00	\$ 102.00
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities	1				
1. ELT, In-Country					\$ 1,005.00
2. ELT, U.S.	1		\$ 380.00	\$ 380.00	
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation	1		\$ 325.00	\$ 325.00	
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

172

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars	1		\$ 300.00	\$ 300.00	
11. Follow-Up/Career Development					
12. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A + B + C + D + E) =				\$	8,577.00

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

173

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT TITLE
 CLASIF. AQUACULTURE

PROJECT NUMBER
 1125-3687.10

PROJECT YEAR
 2 OF 3.00 Years

PROJECT WRITER

PARTICIPANT MONTHS PROJECTED
 (THIS YEAR) 12

DATE BUDGET PREPARED
 06/16/1989

COMMENTS:

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
A. Education/Training Cost					
1. Tuition/Fees	1				\$ 7,102.00
Regular Session	1	2	\$ 3,021.00	\$ 6,042.00	
Summer Session	1	1	\$ 1,060.00	\$ 1,060.00	
2. Training Costs					
3. Frilage Program Costs					
4. Other (Mission Option)					
B. ALLOWANCES					
1. Maintenance Advance	1				\$ 9,989.20
2. Living/Maintenance	1	12	\$ 728.00	\$ 8,736.00	
3. Per Diem	1	3	\$ 78.00	\$ 234.00	
4. Books & Equipment	1	12	\$ 67.60	\$ 811.20	
5. Book Shipment					
6. Typing (papers) - Academic Only	1		\$ 208.00	\$ 208.00	
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

174

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
1125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
C. Travel	1				\$ 312.00
1. International					
2. Local	1		\$ 312.00	\$ 312.00	
3. Other (Mission Option)					
D. Insurances	1				\$ 424.32
1. HAC for U.S.	1	12	\$ 35.36	\$ 424.32	
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities	1				\$ 312.00
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

175

BUDGET ESTIMATE WORK SHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 1125-3687.10

COMMENTS

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars	1		\$ 312.00	\$ 312.00	
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 18,109.52

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

176

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)

** SEE "Instructions: Budget Estimate Worksheet" **

PROJECT TITLE
 CLASIF II, AQUACULTURE

PROJECT NUMBER
 1125-3687.10

ACADEMIC
 TECHNICAL

PROJECT WRITER

PROJECT YEAR
3 OF 3.00 Years

COMMENTS:

PARTICIPANT MONTHS PROJECTED
 (THIS YEAR) 8

DATE BUDGET PREPARED
 06/16/1989

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
A. Education/Training Cost					
1. Tuition/Fees	1				\$ 4,325.86
Regular Session					
Summer Session	1	1	\$ 3,202.26	\$ 3,202.26	
2. Training Costs	1	1	\$ 1,123.60	\$ 1,123.60	
3. Package Program Costs					
4. Other (Mission Option)					
B. ALLOWANCES					
1. Maintenance Advance	1				\$ 7,776.70
2. Living/Maintenance	1	8	\$ 757.12	\$ 6,056.96	
3. Per Diem	1	3	\$ 81.12	\$ 243.36	
4. Books & Equipment	1	8	\$ 70.30	\$ 562.43	
5. Book Shipment	1		\$ 129.79	\$ 129.79	
6. Typing (papers) - Academic Only	1		\$ 216.32	\$ 216.32	
7. Thesis - Academic Only	1		\$ 324.48	\$ 324.48	
8. Doctoral Dissertation - Academic					
9. Professional Membership	1		\$ 243.36	\$ 243.36	
10. Other (Mission Option)					

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

177

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs					
Training Cost Analysis (TCA)					
** SEE "Instructions: Budget Estimate Worksheet" **					
					<input checked="" type="checkbox"/> ACADEMIC
					<input type="checkbox"/> TECHNICAL
PROJECT NUMBER	COMMENTS				
125-5687.10					
1. PARTICIPANT COST					
PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
C. Travel	1				\$ 540.80
1. International					
2. Local	1		\$ 540.80	\$ 540.80	
3. Other (Mission Option)					
D. Insurances	1				\$ 294.20
1. HAC for U.S.	1	8	\$ 36.77	\$ 294.20	
2. Required by Institution					
3. Other (Mission Option)					
E. Supplemental Activities					
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

178

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs
 Training Cost Analysis (TCA)
 ** SEE "Instructions: Budget Estimate Worksheet" **

ACADEMIC
 TECHNICAL

PROJECT NUMBER
 125-2687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	ISUE:TOTAL	TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					
TOTAL PARTICIPANT COSTS (A + B + C + D + E) =					\$ 12,937.56

* Units are standard measures for the cost element (e.g., participants, participant weeks, etc.)

179

BUDGET ESTIMATE WORKSHEET: Summary
Training Cost Analysis (TCA)

ACADEMIC
 TECHNICAL

PROJECT TITLE
CLASS 11

PROJECT NUMBER
125-3687.10

COMMENTS:

II. ADMINISTRATIVE COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
11.F. Administrative Costs	\$ 10,750	\$ 3,000	\$ 2,000			\$ 15,750
1. Salaries (Total)						
a. Professional						
i. U.S.						
ii. Field						
b. Support Staff						
i. U.S.						
ii. Field						
2. Fringe Benefits						
3. Travel (Total)						
a. International						
b. Local						
4. Consultant Fees (Total)						
a. United States						
b. Field						
5. Equipment						
6. Sub-Contracts						
7. Indirect Costs						
8. Other (Mission Option)						
TOTAL PARTICIPANT COSTS (A+B+C+D+E+F)	\$ 174,097	\$ 21,179	\$ 14,937			\$ 210,164

180

ECUADOR

5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria applicable to: (A) FAA funds generally; (B) (1) Development Assistance funds only; or (B) (2) the Economic Support Fund only.

A. GENERAL CRITERIA FOR COUNTRY ELEGIBILITY

- | | |
|--|---|
| <p>1. <u>FY 1990 Appropriations Act Sec. 569 (b)</u>. Has the President certified to the Congress that the government of the recipient country is failing to take adequate measures to prevent narcotic drugs or other controlled substances which are cultivated, produced or processed illicitly, in whole or in part, in such country or transported through such country, from being sold illegally within the jurisdiction of such country to United States Government personnel or their dependents or from entering the United States unlawfully?.</p> | <p>The President has certified that Ecuador is taking adequate measures</p> |
| <p>2. <u>FAA Sec. 481(h); FY 1990 Appropriations Act Sec. 569(b)</u>. These provisions apply to assistance of any kind provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance from the Child Survival Fund or relating to international narcotics control, disaster and refugee relief, narcotics education and awareness, or the provision of food or medicine.) If the recipient is a "major illicit drug producing country" (defined as a country producing during a fiscal year at least five metric tons of opium or 500 metric tons of coca or marijuana) or a "major drug-transit country" (defined as</p> | <p>Ecuador is not a major illicit drug producing or drug-transit country.</p> |

a country that is a significant direct source or illicit drugs significantly affecting the United States, through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government):

(a) Does the country have in place a bilateral narcotics agreement with the United States, or a multilateral narcotics agreement? and (b) Has the President in the March 1 International Narcotics Control Strategy Report (INSCR) determined and certified to the Congress (without Congressional enactment, within 45 days of continuous session, of a resolution disapproving such a certification), or has the President determined and certified to the Congress on any other date (with enactment by Congress of a resolution approving such certification), that (1) during the previous year the country has cooperated fully with the United States or taken adequate steps on its own to satisfy the goals agreed to in a bilateral narcotics agreement with the United States or in a multilateral agreement, to prevent illicit drugs produced or processed in or transported through such country from being transported into the United States, to prevent and punish drug profit laundering in the country, and to prevent and punish bribery and other forms of public corruption which facilitate production or shipment of illicit drugs or discourage prosecution of such acts, or that (2) the vital national interests of the United States require the provision of such assistance?

3. 1986 Drug Act Sec. 2013 (This section applies to the same categories of assistance subject to the restrictions in FAA Sec. 481 (h), above.) If recipient country is a "major illicit drug producing country" or "major drug-transit country" (as defined for the purpose of FAA Sec 481 (h)), has the President submitted a report to Congress listing such country as one: (a) which, as a matter of government policy, encourages or facilitates the production or distribution of illicit drugs; (b) in which any senior official of the government engages in, encourages, or facilitates the production or distribution of illegal drugs; (c) in which any member of a U.S. Government agency has suffered or been threatened with violence inflicted by or with the complicity of any government officer; or (d) which fails to provide reasonable cooperation to lawful activities of U.S. drug enforcement agents, unless the President has provided the required certification to Congress pertaining to U.S. national interests and the drug control and criminal prosecution efforts of that country?

Ecuador is not a major illicit drug producing or drug-transit country.

4. FAA Sec. 620 (c) If assistance is to a government, is the government indebted to any U.S. citizen for goods or services furnished or ordered where: (a) such citizen has exhausted available legal remedies, (b) the debt is not denied or contested by such government, or (c) the indebtedness arises under an unconditional guaranty of payment given by such government or controlled entity?

The Government of Ecuador is not so indebted.

5. FAA Sec. 620 (e) (1). If assistance is to a government, has it (including any 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?

The Government of Ecuador has not taken such action.

6. FAA Secs. 620(a), 620(f), 620D; FY 1990 Appropriations Act Secs. 512, 548. Is recipient country a Communist country?. If so, has the President: (a) determined that assistance to the country is vital to the security of the United States, that the recipient country is not controlled by the international Communist conspiracy, and that such assistance will further promote the independence of the recipient country from international communism, or (b) removed a country from applicable restrictions on assistance to communist countries upon a determination and report to Congress that such action is important to the national interest of the United States?. Will assistance be provided either directly or indirectly to Angola, Cambodia, Cuba, Iraq, Libya, Vietnam, South Yemen, Iran or Syria?. Will assistance be provided to Afghanistan without a certification, or will assistance be provided inside Afghanistan through the Soviet-controlled government of Afghanistan?

No

7. FAA Sec. 620 (j). Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property? No. They have not.
8. FAA Sec. 620(1) Has the country failed to enter into an investment guaranty agreement with OPIC? No.
9. FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5. (a) Has the country siezed, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made?. No.
10. FAA Sec. 620(g); FY 1990 Appropriations Act Sec. 518 (Brooke Amendment). (a) Has the government of the recipient country been in default for more than six moths on interest or principal of any loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1990 Appropriations Act appropriates funds? Ecuador is not in default.
11. FAA Sec. 620(s). If contemplated assistance is development loan or to come from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget and amount of the country's foreign exchange or Yes, taken into account by the Administrator at the time of approval of the A.I.D. OYB.

other resources spent on military equipment? (Reference may be made to 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.)

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

Ecuador has not severed diplomatic relations with the U.S.

13. 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 A.I.D. Administrator in determining the current A.I.D. Operational Year Budget? (Reference may be made to the "Taking into Consideration" memo.)

Ecuador is not in arrears.

14. FAA Sec. 620A. Has the President determined that the recipient country grants sanctuary from prosecution to any individual or group which has committed an act of international terrorism or otherwise supports international terrorism?

Ecuador does not provide such sanctuary or otherwise support international terrorism.

15. FY 1990 Appropriations Act Sec. 564. Has the country been determined by the President to: (a) grant sanctuary from prosecution

Ecuador does not provide such sanctuary or otherwise support international terrorism.

secution to any individual or group which has committed an act of international terrorism, or (b) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons?

16. ISDCA of 1985 Sec. 552(b). Has the Secretary of State determined that the country is a high terrorist threat country after the Secretary of Transportation has determined, pursuant to section 1115(e) (2) of the Federal Aviation Act of 1958, that an airport in the country does not maintain and administer effective security measures?
- Ecuador is not a high terrorist threat country.
17. FAA Sec. 666(b). 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?
- Ecuador does not so object.
18. FAA Secs. 669, 670. Has the country, after August 3, 1977, delivered to any other country or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards, and without special certification by the President? Has it transferred a nuclear explosive device to a non-nuclear weapon state, or if such a state, either received or detonated a nuclear explosive device? (FAA Sec. 620E permits a special waiver of Sec. 669 for Pakistan.)
- Ecuador has neither delivered nor received such equipment, materials or technology.

19. FAA Sec. 670. If the country is a non-nuclear weapon state, has it, on or after August 8, 1985, exported (or attempted to export) illegally from the United States any material, equipment, or technology which would contribute significantly to the ability of a country to manufacture a nuclear explosive device?
- Ecuador has not exported or attempted to export such material, equipment or technology illegally from the U.S.
20. ISDCA of 1981 Sec. 720. Was the country represented at the Meeting of Ministers of Foreign Affairs and Heads of Delegations of the Non-Aligned Countries to the 36th General Assembly of the U.N. on Sept. 25 and 28, 1981, and did it fail to disassociate itself from the communique issued? If so, has the President taken it into account? (Reference may be made to the "Taking into Consideration" memo.)
- Yes, taken into account by the Administrator at the time of approval of the A.I.D. OYB.
21. FY 1990 Appropriations Act Sec. 513. Has the duly elected Head of Government of the country been deposed by military coup or decree? If assistance has been terminated, has the President notified Congress that a democratically elected government has taken office prior to the resumption of assistance?
- The duly elected head of Government has not been deposed by military coup or decree.
22. FY 1990 Appropriations Act Sec. 539. Does the recipient country fully cooperate with the international refugee assistance organizations, the United States, and other governments in facilitating lasting solutions to refugee situations, including resettlement without respect to race, sex, religion, or national origin?
- Ecuador fully cooperates in facilitating lasting solutions to refugee situations.

B. FUNDING SOURCE CRITERIA FOR COUNTRY ELIGIBILITY

1. Development Assistance Country Criteria

a. FAA Sec. 116. Has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, can it be demonstrated that contemplated assistance will directly benefit the needy?

Ecuador does not engage in a consistent pattern of gross violations of internationally recognized human rights.

b. FY 1990 Appropriations Act Sec. 535. Has the President certified that use of DA funds by this country would violate any of the prohibitions against use of funds to pay for the performance of abortions as a method of family planning, to motivate or coerce any person to practice abortions, to pay for the performance of involuntary sterilization as a method of family planning, to coerce or provide any financial incentive to any person to undergo sterilizations, to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning?

The use of DA funds by Ecuador would not violate such prohibition.

2. Economic Support Fund Country Criteria

a. FAA Sec. 502B. Has it been determined that the country has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, has the President found that the country made such significant improvement in its human rights record that furnishing such assistance is in the U.S. national interest?

Ecuador does not engage in a consistent pattern of gross violations of internationally recognized human rights.

b. FY 1990 Appropriations Act
Sec. 569 (d). Has this country
met its drug eradication targets
or otherwise taken significant
steps to halt illicit drug produc-
tion or trafficking?

Ecuador has taken significant steps
to halt illicit drug production and
trafficking.

Addendum: Relative Costs of Contracting Modes

CLASP Contract Costs

A review of costs for long term training under current CLASP contracts suggests the following:

- Mission-based CLASP contracts are less costly than either regional contracts run out of LAC/DR/EHR or OIT's central contracts.
- Administrative (overhead) expenses of OIT contractors, LAC regional contracts, and Mission-based CLASP contracts are comparable.
- CLASP contractors that report directly to CLASP Missions are currently either managing other CLASP contractors or they have other non-CLASP participant training contracts within or outside of the LAC Bureau.

Through the Training Cost Analysis (TCA), an instrument that originated in the LAC Bureau which was recently mandated by the Administrator for use in all Agency participant training procurement, the LAC bureau has an instrument it can use:

- To effectively gauge and negotiate reduced training costs during the initial procurement process.
- To monitor contracts while they are being implemented to assure that individual line item costs are within limits set out in the contract.

ASSERTIONS Mission based CLASP contracts are less costly than either regional contracts run out of LAC/DR/EHR or OIT's central contracts.

Administrative (including overhead) expenses of OIT contractors, LAC regional contracts, and Mission based CLASP contracts are comparable.

- A comparison was carried out of individual training costs per month for long term training and administrative costs per month (a sub-item under individual training costs) for three categories of CLASP contractors:
 - Central contractors (PIET, USDA)
 - LAC regional contractors (USA, Development Associates)
 - Mission-based contractors (AED, NAPA, Univ. of New Mexico)
- This comparison (See Table 1 attached) revealed the following:
 - Total per person month training costs for Mission-based contractors are lower than either central or LAC regional contractors.

- Administrative costs (including overhead) for Mission-based contractors are either less than or are comparable to central and LAC regional contracts.

TABLE 1

COMPARISON OF AVERAGE COSTS PER TRAINING MONTH AND
PER MONTH ADMINISTRATIVE COSTS AMONG CLASP CONTRACTORS

CONTRACTOR	NUMBER OF TRAINEES	TOTAL AVERAGE COST PER TRAINING MONTH	ADMINISTRATIVE COST PER TRAINING MONTH
<u>CENTRAL CONTRACTS</u>			
PIET (Honduras, Panama, El Salvador)	282	\$1,579	\$220 (1)
USDA (Costa Rica, Honduras)	52	\$1,683	\$240
<u>LAC REGIONAL CONTRACTS</u>			
Development Assoc. (Bolivia, Colombia, Ecuador, Peru)	263	\$1,600	\$251
USA (Dom. Rep, Haiti, Jamaica, RDO/C)	320	\$1,519	\$449
<u>Mission-BASED CONTRACTS</u>			
AED (Honduras)	417	\$1,206	\$198
AED (RDO/C)	207	\$1,300	\$185
Georgetown Univ (Panama)	235	\$1,307	\$----
CSLA (El Salvador)	124	\$1,215	-----
University of New Mexico (El Salvador)	55	\$1,290	-----
NAPA	235	\$1,295	\$335

(1) Administrative charge vs administrative cost

ASSERTION Mission contractors are either currently staffed up to do other participant training under the current CLASP program or have other participant training contracts within or outside of the LAC bureau

TABLE 2

PARTICIPANT TRAINING (CLASP AND NON CLASP) CARRIED OUT BY MISSION BASED CLASP CONTRACTORS

CONTRACTOR	CONTRACT AMOUNT	NUMBER OF TRAINEES
ACADEMY FOR EDUCATION DEVELOPMENT (1)		
CAPS (Honduras)	\$21,337,467	417
PTIIC (RDO/C)	\$ 9,065,910	307
Pakistan	-----	---
Botswana	-----	---
DEVELOPMENT ASSOCIATES		
APSP (South America)	\$19,848,335	1,740
LAC II (Mexico)	\$ 2,700,533	983
Development Training (Dominican Republic)	\$ 3,600,000	281
NATIONAL ASSOCIATION OF THE PARTNERS OF THE AMERICAS		
CAPS (El Salvador)	\$5,164,140	335
LAC II (Brazil) (2)	\$ 400,000	32
GEORGETOWN UNIVERSITY		
CAPS (Panama)	\$-----	----
CASP	-----	----

(1) AED has three other projects that have some participant training within it.

(2) Cooperative Agreement. FY 1988 data only.

Addendum. TCA Reports for Ecuador Development Scholarship Program Budgeting (RESERVED)

Accompanying this addendum are Training Cost Analysis budget worksheets which reflect the budget figures appearing in Section IV.A., Project Budget Summary. The methodology adopted was to formulate several general budgets--specifically, for short term groups, for academic programs, and for the single long term technical group. These are designed to provide sufficient funding for various kinds of activities using established figures for average costs. This will allow any future reprogramming of specific groups by the Mission to have negligible impact on the overall budget. Inflation, which is calculated automatically by the TCA generator, was fixed at a somewhat higher rate than has been used in the last several years: 6.5% for educational expenses, and 5.0% for all other costs.

Attached is the TCA overall summary for the project for all years; a year-by-year summary of both technical and academic groups; and two sample groups, one a short term technical group and the other an academic training group. Also included are two administrative costs tables, one for U.S. administrative costs and a second for in-country costs.

The following assumptions were made for each kind of budget:

For short term groups, training cost figures were adopted from an Office of International Training FY1986 survey, which, based on several hundred cases, has determined an average cost of \$65.17 per day (inflated for the present) for short term programs lasting six weeks. Normal allowances were programmed, including the full advance and maintenance allowance for the first month and one-half of the standard second month's maintenance for the concluding two weeks. Allowance figures used are taken from Handbook 10. In reality, many of these may be priced as packages, which allows for a certain flexibility of activities within the overall cost range. One day of per diem was budgeted for all short term Trainees. International travel was estimated at \$1,200 for 1991, which will be sufficient to take Trainees to the training site. An additional \$300 was added for other internal travel in the U.S. All short term Trainees, as is AID regulation, would be covered by the HAC medical insurance for two months. Other supplementary figures included were \$45 for the short "survival English" course in Ecuador, \$340 per trainee for predeparture costs and \$350 per Trainee for future Follow-on programming.

For academic Trainees, educational costs were based on a national survey of college tuition rates. The average for out-of-state tuition for graduate students in state-funded universities for 1988-89 was inflated 6% per year as the base for the calculations used. A middle-range figure from the Handbook Ten residence maintenance allowances was chosen, \$775 per month, which covers a major proportion of the United States. Other normal allowances were included, such as the \$400 thesis allowance for M.A. students, membership in professional societies, and

journal subscriptions. Two years' taxes, now charged to USAID-supported students by the IRS, were included in allowances at \$900 per year (subject, as are all figures, to the standard inflation calculation). This amount is currently recommended by OIT. Academic students were budgeted with eight days of per diem, which would cover a short reception orientation and a week-long Mid-Winter Community Seminar during the first Christmas break. The fees for these two events were budgeted at \$250 and \$300 respectively. The same travel figures as for the short term participants, \$1,200 for international travel and \$300 for U.S. and Ecuador domestic, were also budgeted. Academic Trainees were also budgeted for \$1,050 for in-country English language training, and \$1,170 for English training in the United States. The U.S. figure is equivalent to thirteen weeks training at ALIGU. Finally, for all academic Trainees, \$460 was budgeted for predeparture costs and \$250 for Follow-on.

The one group of long term technical trainees, the agricultural high school teachers, receive standard allowances and the same amounts for travel as the previous two categories. Three days of per diem were budgeted for this group, and a mid-winter enrichment program. While it is planned that this course will be carried out in Spanish, funding has still been included for substantial English training. Finally, given that it is assumed that this is a special package program, the training cost was budgeted at a higher figure than for normal academic training, or \$6,000 for each Trainee for the program.

Administrative costs were designed to cover both the in-country administrative activities necessary to recruit, screen, select, and prepare Trainees for their U.S. experience and to provide an in-country debriefing and follow-up activities, as well as for U.S. placement and management. The dual role of the contract, requiring offices both in Ecuador and the U.S., and the fact that the Training Cost Analysis now requires in-country and U.S. placement costs to be separated, are reflected in the attached calculations.

Administrative costs can be estimated through a number of methods. For example, if the Ecuador Mission was willing to assign 25% to U.S. administrative costs, that would yield a figure of \$1,250,000, or a figure of about \$938 per participant month.

The exercise undertaken here, however, has attempted to look at the details of staffing and administrative needs in order to provide more realistic estimates. It should be noted that the assumptions herein adopted, however, may not be the best or most efficient use of personnel resources for particular contractors. Potential contractors should be permitted to offer alternative staffing plans from those suggested here.

For the U.S. administrative costs, the following assumptions were made, based on discussions with knowledgeable people in the private sector and drawing on average figures used by AID/Washington. As an initial premise, it was assumed that the contractor would have partial-time access to certain specialties which would not require full-time employment for the Ecuador project. In professional staffing, it was

supposed that there would be a full-time project administrator, assisted by an accountant who provides 20% of his/her time to the project and an project director who supports the activity at 10% of budgeted time. These three persons are assisted by a full-time administrative assistant and a half-time secretary. Fringe benefits are estimated at 21% of base of salaries and wages. Indirect costs, drawing on AID advice, were conservatively calculated at 92%, with a base application of salaries, wages, and fringe benefits.

While fee, where relevant, will be negotiated, a conservative percentage for pricing is 8%. It is important to point out that the base for fee calculation should be administrative costs alone; program costs would not enter into the base for fee calculations. Although no CLASP contractor to date has exceeded these percentages, the competitive process may yield proposals from other qualified contractors whose established rates for indirect and fringe benefits may vary. The levels stated here assure that USAID/Ecuador has a reasonable calculation which can easily incorporate a range of offerors.

Travel and per diem figures include four round trips between Quito and the U.S. for international travel and \$3,000 annually for internal U.S. travel, such as for site visits. Direct costs are estimated, for the U.S. side, at \$2,000 per month.

Administrative costs per participant month are calculated only on U.S. administrative costs; given the range of field costs and the fact that considerable effort is expended in ways not directly related to the final selection of candidates, field costs cannot suitable be incorporated into the participant-month cost calculation. The estimates for field costs made here yields a rather high figure of \$1418 per participant-month. For CLASP I overall, average U.S. administrative costs per participant month have been, through fiscal year 1989, \$369.39 per academic participant-month and \$636.80 for technical training, although figures for the Andean region have been substantially higher.

In-country cost assumptions costs are based on the following staffing patterns: a project director, a full-time associate, and a full-time person devoted to Follow-on activities. They would be supported by a secretary, a half-time accountant, and an office support person. Please note that the same rates as for the U.S. side were adopted for fringe benefits, indirect costs, and fee, although many contractors have different overhead rates for field offices. Three round trips to the U.S. were budgeted annually, and \$2,500 per year for internal travel in Ecuador. Other direct costs were estimated at \$1,500 per month.

Again, administrative cost calculations are broad estimates; proposed budgets may differ significantly from those presented here. Nevertheless, these figures should be useful in judging the structure of proposed budgets.