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**Human Capacity Development
Activity Design—A HERNS Report**

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by

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EXECUTIVE SUMMARY

The purpose of this report is to propose a design for a new human capacity development (HCD) activity. It was written by a team of HERNS consultants upon request of USAID/El Salvador. The report outline follows the Mission's Strategic Development Office's guidance on new activity designs.

■ *Problem Statement*

With the completion of the CLASP project, USAID/El Salvador will no longer have a Mission-wide mechanism for providing training and training support services. A new mechanism is needed to allow the Mission to maintain the momentum of the lessons learned from the CLASP project, to keep pace with USAID reengineering and changes in the training industry, and to support SO teams in achieving results—cost-effectively—through training.

■ *Purpose*

The purpose of the new activity is to support all Strategic Objective teams in planning, implementing, and monitoring training that contributes to institutional performance improvements. While the activity is intended to support and enhance the efforts of Strategic Objective and Results Package teams, it is not intended to replace SO/RP efforts to provide technical and management skills.

■ *Relationship to USAID/El Salvador Strategy*

A major constraint in achieving USAID/El Salvador's objectives is that institutions—both public and private, local and national—need to be more efficient and productive. A key factor in the weak performance of these institutions is a widespread lack of key personnel who have the skills, knowledge, and attitudes required to affect change. Several RPs are addressing educational reform and providing technical and management training. However, the new activity offers a mechanism to more completely and consistently address the deficiencies of the human resources already in place. The activity will contribute to all SOs and to the Mission's overall strategy.

■ *Proposed Intervention*

The proposed activity focuses on increasing the contribution of training to improve institutional performance across all Mission SOs. The activity will allow the Training Unit to provide pre- and post-training services to SO/RP teams. These services will be supplemented by a buy-in mechanism that allows SO/RP teams ready access to a U.S.-based contractor for placement and monitoring U.S. and some third-country training. Through a sub-contract with a local institution, the activity also provides in-country training on topics, such as leadership and empowerment and gender awareness,

that cuts across SOs and enhances the achievement of results. Further, training and technical assistance will be given to (1) SO/RP teams for strategic planning and performance monitoring, and (2) the Training Unit to facilitate the shift from managing a stand-alone training project (CLASP) and the participant training program to providing advisory and support services to help SO/RP teams achieve results through training.

■ *Implementation and Management Plan*

The new activity will be implemented over a five-and-one-half year period, from 1997 to 2002. It will be under the direction of SO#1, RP#1, with the HCDM providing oversight. The Training Unit will be responsible for day-to-day management. Four FSNs will serve full-time on the activity: one activity manager, two training assistants, and one training clerk. A GTD contractor will provide technical assistance and training to SO/RP teams and the Training Unit, as well as placement and monitoring services for trainees in the U.S. and some third countries. A local institution will be sub-contracted by the GTD contractor and will manage and deliver in-country pre- and post-training as well as training on cross-cutting topics.

■ *Financial Plan*

The estimated budget through 2002 is \$5,486,323 not including buy-ins from SO/RPs or counterpart contributions. The approximate cost for FY97 is \$362,000. Financing the activity in FY97 will require an obligation of \$250,000 and approximately \$140,000 remaining from the CLASP activity. The table below shows the cost of each component and whether they are financed from core activity funds or buy-ins from SO/RP teams.

Summary of Implementation, Management, and Financial Plan			
Activity Component	Intermediate Customer	Implementation/ Management	Financial Plan (5 ½-year budget)
1. <i>Assistance to SO/RP Teams:</i> (a) advisory services, (b) information dissemination and coordination	SO/RP teams and their partners	(a) Delivery Order with GTD contractor; (b) Training Unit	(a) Core Funds \$437,787 (b) Core Funds (Portion of USAID administrative costs)
2. <i>Integrated Services:</i> (a) pre- and post-training support; (b) placement and monitoring	Trainees	(a) Training Unit; (b) Delivery Order with GTD contractor	(a) Core Funds (Portion of USAID administrative costs) (b) Buy-ins from SOs (Amount TBD) & counterpart contributions
3. <i>Training on Cross-cutting Topics:</i> (a) leadership skills; (b) continuing education	Trainees in SO/RPs; SO/RP teams	GTD Sub-contract with local training institution	(a) Core Funds \$242,076 (b) Core Funds \$2,501,823 Buy-in (potential)
4. <i>Support for a Reengineered Training Unit:</i> (a) management review/customer service assessment, (b) training and technical assistance	Training Unit	Delivery Order with GTD contractor	(a) Core Funds \$108,526 (b) Core Funds \$199,569
USAID Administrative Costs	n/a	n/a	Core Funds \$906,898
Other (audit, evaluation, contingency)	n/a	n/a	Core Funds \$1,089,644
TOTAL			\$5,486,323

■ *Analytic – Consultation Process*

The process of designing the new activity began in early 1996, with SO#1, RP#1 producing an issues paper that opened discussion on the future role of HCD in the Mission. This was followed by a mini-retreat, a Training Strategy, and delivery order with the HERNS contract to further a design. The HERNS team conducted a thorough document review; met with 65 representatives from SO/RP teams, institutional contractors, partner organizations, and local training contractors; and administered a demand survey. The consultation process raised a number of issues, which are addressed throughout the report. A few of the issues may be classified as risks and assumptions: (1) the challenge of estimating demand for the activity; (2) the fact that the new activity competes with existing mechanisms for training services, such as technical assistance contractors and USAID/Washington buy-ins; (3) the need to reengineer USAID training and the Training Unit; and (4) the perceived need to link the new activity to a single SO. The proposed design attempts to ameliorate each of these risks.

■ *Customer Service Plan*

The CSP will provide a means for obtaining customer feedback on the activity's service delivery performance. The most immediate customers of the new activity are the SO/RP teams and their partners. The CSP will focus on: (1) the customers' perception of the importance and usefulness of the activity; (2) the activity's emphasis on results; (3) the strength of the partnerships and teamwork between the TU and the SO/RP teams; and (4) the cost effectiveness of the services compared to other mechanisms available for training. The CSP will be initiated with a Customer Service Assessment in conjunction with a management review of the Training Unit. An annual CSA will be conducted by an external team, with the CSP reviewed and revised accordingly. The CSA will be supplemented by formal and informal feedback throughout the year.

■ *Performance Monitoring Plan*

The PMP will provide a strategy for collecting, analyzing, and reporting data on the progress and results of the activity. The Training Unit will work collaboratively with each SO/RP team and its partners to establish relevant performance indicators, set targets, and collect baseline data. Primary attention will be given to the SO/RP teams' need for information. Responsibility for collecting the data will be shared among the training contractors, training providers, USAID Training Unit, SO/RP teams, and the partner organization. Preference will be given to rapid appraisal methods, such as key informant interviews, focus groups, on-site observations, written questionnaires, and document reviews. The schedule for data collection will vary according to the timing and duration of the training, as well as the result being measured.

I. PROBLEM STATEMENT

Over the past ten years, USAID has trained more than 3,000 Salvadorans through the CAPS and CLASP projects. The application of innovative program designs in the projects contributed to the successful achievement of broad-based results and development impact. A recent comparison of CLASP training with the Mission's traditional participant training (HERNS, 1994) reported that "USAID/El Salvador's CLASP training[s] focus on creating change agents is both substantially more effective and less costly than 'traditional' approaches to training." The CLASP training was characterized by two main elements:

- "relevant academic/technical training that suits the abilities of the trainee, and the needs of the project, including the workplace or community;" and
- "supplemental training, especially leadership training, to develop skills in action planning, group dynamics, communications, and practical implementation and evaluation of specific action plans" (HERNS, p. 20).

The CLASP training design featured thorough needs assessments, with participation of all institutional stakeholders; competitive and impartial trainee selection; critical mass and multi-level groups of participants; pre-training orientation; training events based on adult, non-formal education theory; and follow-on activities to reenforce the training and support the application of training in the workplace or community. Taken together, CLASP training programs created a "total learning experience."

Further, CLASP training, with the addition of supplemental training and pre- and post-training support, was found to be nearly fifty percent less expensive, on average, than traditional participant training (Table 1).

CLASP/El Salvador FY92 Technical Training Costs¹	CLASP/El Salvador FY92 Technical Training and Administrative Costs	Traditional Participant Training El Salvador FY92 Technical Training and Administrative Costs
Below the regional average of \$2,857	Below the average of \$3,493	\$6,738
<i>Per participant month, based on programs in nine countries</i>	<i>Per participant month, based on programs in other countries</i>	<i>Per participant month</i>
<small>¹CLASP data are taken from the centralized Training Cost Analysis (TCA) documentation provided by all institutional contractors. Data were not disaggregated by country in order to maintain the confidentiality of the training contractors.</small>		
<small>Source: <i>Strengthening the Human Capacity Development Strategy of USAID/El Salvador: A HERNS Report</i>. 1994. p. 11.</small>		

The report also indicated that the CLASP trainees were more effective in producing results than traditional trainees—results that extended beyond their professional lives to voluntary service (HERNS 1994, p. 14).

The valuable lessons learned from CLASP and other USAID training programs have been recognized as one part of the reengineered training standards. Within the Mission, two aspects of the CLASP design—individual/group action plans and follow-on activities—have been applied over the last year to USAID/El Salvador’s participant training. Not all the best practices of training have been adopted Mission-wide, however. Further, the CLASP experiences principally focused on the best ways to *implement* excellent training.

With USAID reengineering, the Mission must go beyond *implementing* excellent training to *planning* for the strategic use of training which focuses on individual and institutional performance improvement. The strategic use of training to attain SO/RP’s performance goals requires a new approach to training, one that shifts from a focus on training as an input to one that focuses on the contribution training makes to achieving Intermediate Results.

With the end of CLASP (PACD is July 1997), the Mission has the opportunity to build upon and incorporate the lessons learned from CLASP and other USAID training programs into a unified system to support all Strategic Objectives. The new mechanism will encourage the Mission to maintain the momentum of the lessons learned in the CLASP program, thus ensuring that the SO teams are able to use the “total learning experience” in their own training programs. Further, a new mechanism will allow SO teams to keep pace with changes in the training industry. Finally, the new mechanism will support SO teams to achieve a high level of excellence in training impact and cost-effectiveness.

II. PURPOSE STATEMENT

The purpose of the new HCD activity is:

To support all Strategic Objective teams in planning, implementing, and monitoring training that contributes to institutional performance improvements.

The activity will support and enhance the efforts of SO/RP teams in addressing the HCD constraints related to their particular results and Intermediate Results. It will not, however, replace the efforts of SO/RPs to provide technical and management skills needed to improve the performance of their partner institutions. The activity will provide a mechanism for supporting cross-cutting HCD needs through training and training-related services.

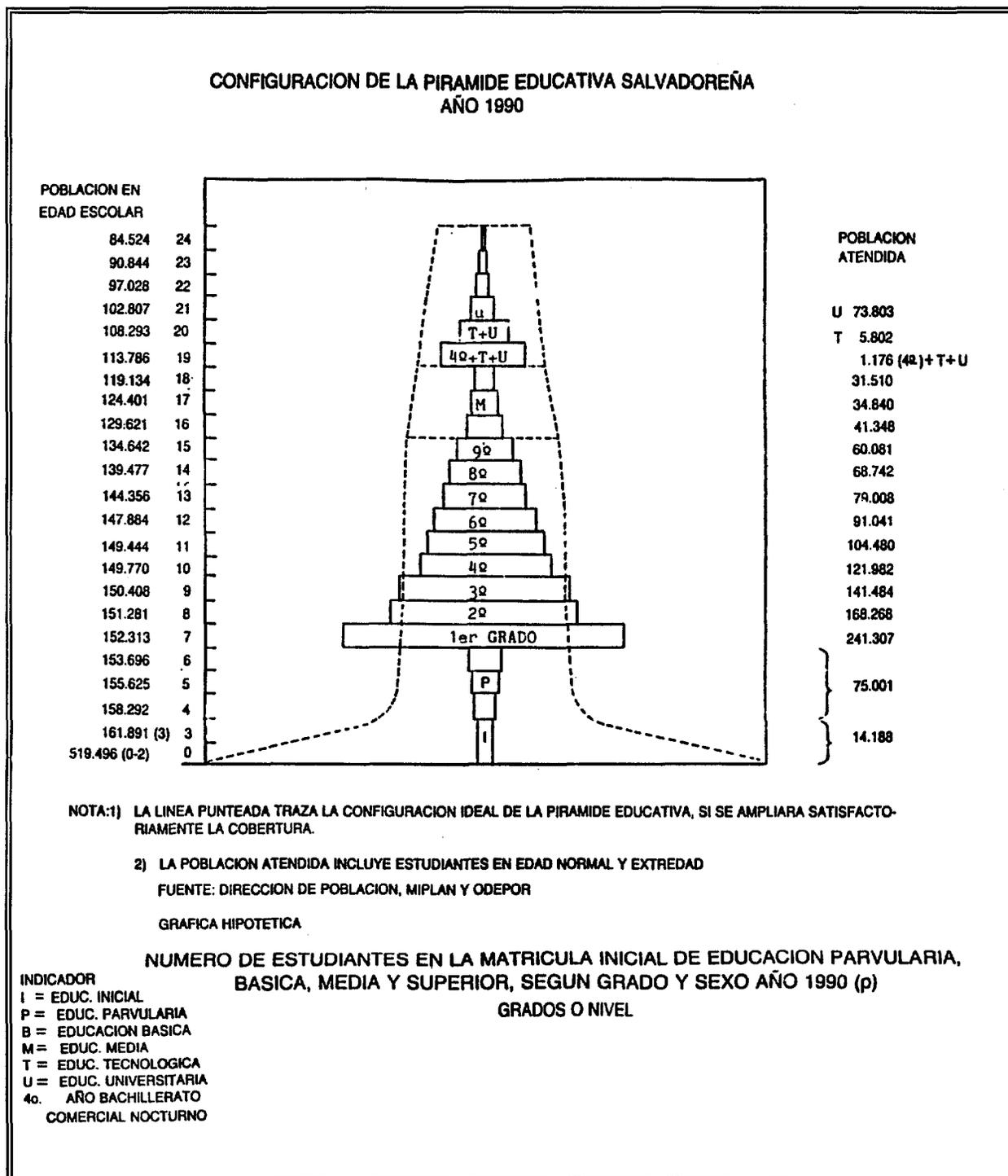
III. RELATIONSHIP TO USAID/EL SALVADOR STRATEGY

The goal of USAID/El Salvador's strategic plan is to realize "*sustainable development*" and to foster democracy. To achieve this long-term goal, the Mission will focus on four Strategic Objectives and one Special Strategic Objective: (1) expanded access and economic opportunity for rural families in poverty; (2) more inclusive and effective democratic processes; (3) sustainable improvements in health of women and children; (4) increased use of environmentally sound practices in selected fragile areas; and (5) assist El Salvador to make the transition from war to peace. (See Annex A, Strategic Objectives—El Salvador.)

A major constraint in achieving these objectives is that institutions—both public and private, local and national—need to be more efficient and productive. A major factor in the weak performance of these institutions is a widespread lack of key personnel who have the skills, knowledge, and attitudes required to affect change. The public educational system, weakened by years of civil strife and low investments, has yielded few university graduates. The gradual decrease in attendance rates for each consecutive level of schooling is illustrated in Graphic 1. Similarly, the system has failed to produce people who are prepared to apply initiative, creativity, logic, and problem-solving to their everyday lives. These same people are among the country's decision-makers in areas of strategic interest to USAID.

Several Results Packages and activities are addressing educational reform and providing technical and management training for leaders in this sector. However, the new HCD activity offers a Mission-wide mechanism to more completely and consistently address the deficiencies of the human resources already in place. Rather than having a single sector focus, the new activity will prepare individuals—across all sectors—to function as change agents. The activity will aim to improve institutional performance that contributes to achieving SOs and to realizing the Mission's overall strategy.

Graphic 1



Source: Ministerio de Educación, Memoria de Labores, 1990-1991. República de El Salvador, 1992.

IV. PROPOSED INTERVENTION

a. Introduction

The human resource constraints in public and private institutions, resulting from years of a deficient educational system, seriously impede the attainment of the GOES and USAID/El Salvador's development goals. The interventions proposed for the new HCD activity focus on increasing the contribution of training to improving institutional performance by providing training advisory and support services to all SO/RP teams and their partner institutions. The proposed interventions also include training courses for activity beneficiaries in areas of leadership and empowerment designed to enhance the SO/RP technical training. Finally, the proposed interventions include assistance for the Training Unit staff as they shift from managing a stand-alone training project (CLASP) and the participant training program, to providing professional training management services in support of training conducted by SO/RP teams and their institutional contractors and counterparts.

The four interventions work together to directly address the need to provide support to all the SOs so that training is integrated into the strategic planning process on a par with other development options. The activity elevates the Training Unit from a processing unit to integral involvement with the SO/RP teams and provides the skills necessary to become an in-house source of training expertise—critical to every activity that attempts to teach skills and knowledge, and to change behavior. The members of the Training Unit, working as full members of the SO/RP teams, will serve as professional training management consultants, advising the teams about ways training can help contribute to achieving results.

The proposed contracting mechanism also ensures that the pre- and post-training activities are coordinated, as the same institution will provide the pre-training action planning seminars and the re-entry and follow-on seminars.

The services will be offered through core funding from the new HCD activity and through buy-in options from SO/RP teams on an as-needed basis. The services will be provided by a Global Training for Development (GTD)¹ contractor, a GTD sub-contracted local training institution, and the USAID/El Salvador Training Unit.

The four principal interventions are described in detail below. The suggested staffing plan, an implementation schedule, and proposed contracting options are discussed in the following section, Implementation and Management Plan.

¹Global Training for Development is an IQC with five U.S. contractors providing training/training support services to USAID missions worldwide.

b. Description of Proposed Activity Components

The activity will begin each year with a strategic planning phase, followed by implementation and monitoring services. The GTD contractor will provide initial technical assistance on reengineered training standards Mission-wide to all SO/RP teams and their partners. This will include a series of workshops on issues relevant to the strategic use of training and technical assistance to help SO/RP teams with performance analysis and training needs assessments.

A cluster of integrated services will be available to support training implementation, both in-country, and for third-country and U.S. training. These will range from administrative support services for U.S., third-country and in-country training to pre-training preparation and post-training support in follow-on activities. Placement services and processing of trainees will be included. Training will be provided in leadership and empowerment skills and a variety of workshops will be offered to trainees in a continuing education training program. Finally, GTD will conduct a management review of the Training Unit and prepare a technical assistance and training plan for the Unit.

i. Component One: Technical Assistance to Strategic Objective and Results Package Teams

Proposed Activity (a): *Advisory services* will be provided as a management support service to all SO/RP teams. GTD will conduct a series of workshops each year to cover the role of high-impact training in reengineering. The activity will begin three one-day Strategic Planning workshops for mission staff, institutional contractors, and counterparts. In the workshop, teams (including institutional contractors and counterparts) will learn strategic planning skills and develop an overall strategy for using training to achieve their results. GTD will help the teams develop training plans in support of SOs so that all individual and group training support strategic objectives on a sectoral, organizational, or individual basis. The GTD training specialists will assist SO/RP extended teams as they analyze the human performance constraints in their RPs and discuss ways in which training could contribute to reducing constraints.

The workshops on high-impact training continue on a bi-monthly basis, addressing topics such as performance analysis to identify human capacity constraints, designing and accounting for results, the value of the “total learning experience” training, and monitoring and reporting results.

The advisory services will help ensure that training is linked to the development objectives of the Mission and that training activities contribute to RPs. Further, the planning phase will result in more precise estimates on the nature and scope of training by SO for each fiscal year, as well as the preferred mechanisms for implementing the training. The information will be used to develop implementation and performance monitoring plans for the remainder of the fiscal year.

The advisory services will continue during the life of the activity, providing SO/RP teams with support to help ensure that new standards for training are attained and uniformly implemented. During the first 18 months of the contract, the GTD contractor will provide both the workshops and the advisory services to the SO/RP teams, with the full participation of the Training Unit. In year

three, it is anticipated that the Training Unit staff will assume full responsibility for providing the advisory services to the Mission's SO/RP teams to guide the annual strategic planning process. This will decrease the need for GTD contractors to do the strategic planning and consultation with the SO/RP teams. The workshop series will continue to be provided by the GTD contractor.

Rationale: The need for strategic planning is strong. Reengineering of the Agency necessitates rethinking the way in which activities are planned, including training activities. Human capacity development is a necessary enabler for sustainable progress in attaining the Strategic Objectives of USAID. In order to make the greatest contribution to the anticipated result, it must be planned in coordination with all the inputs of an RP. The need to plan and train for results is underscored by increasing financial constraints; every dollar spent on training must count.

A principal cause of failure in training is the lack of importance given to training in activity planning, and the consequent failure to design necessary and appropriate training interventions. This is, in part, due to the fact that in the past training was often planned by responding to course offerings and training opportunities that were available. Supply-driven training has been practiced by several USAID/El Salvador teams.

Demand for advisory services appears solid. A demand survey conducted by the HERNS team revealed that over three-quarters of the respondents expressed an interest in services in planning a training strategy, and over half are interested in assistance to conduct performance analyses. Approximately half of those responding indicated that they had some ability to pay for a part of the costs for the service. Approximately half of the respondents also indicated an interest in receiving assistance for their training plans and budgets. Further, interviews with institutional contractors and counterparts indicated that most people are not yet using a strategic planning process for determining the need for training and would be interested in learning more. The demand for these services by SO/RP teams is described in Annex B, Summary of Current and Future Training Needs.

Customer: Three intermediate customers have been identified for this service: SO/RP teams, their host country partners, and the Technical Assistance Contractors.

Mechanism: This component will be provided by GTD through core funding from the new HCD activity to assist the Mission in the transition to reengineered training.

Proposed Services (b): A second service, *information dissemination and coordination*, will be provided by the Training Unit through the new activity. The service has several purposes:

- The first is to proactively inform and explain the USAID reengineering process to the intermediate customers (institutional contractors and counterparts), through participatory workshops.
- A second purpose is to serve as a resource for SO/RP teams who need information on the best sources of training. This will mean maintaining information about training programs targeted to the specific objectives of the

teams. It does not mean maintaining an exhaustive data bank of all the training providers in the U.S., as this approach encourages the “supply-side” approach to training, rather than the strategic use of training.

- The third purpose is to provide information to the extended RP teams about changes in USAID training policy and procedures, as these are revised and simplified through USAID/G/HCD/HETS and the management review of the training processes and procedures in USAID/El Salvador. (See Component 4 below.)
- The fourth purpose is for the Training Unit staff to serve as a coordinating body for the USAID community on training issues of general interest.
- Finally, the service will provide orientation packets for new contractors who were not on-board at the time of the initial workshops on reengineered training in USAID/El Salvador. The orientation for new contractors will also include a workshop to review the Mission’s approach to training within the SO/RP teams and its contribution to achieving results.

Rationale: The need to reengineer training at the Mission is undisputed. As a part of the National Performance Review Act, USAID/Washington is undergoing a reengineering process that has resulted in new training policies and procedures that emphasize the contribution of training to achieving the Intermediate Results. Several major studies² document the lessons learned about improving training for development and these form the basis for USAID’s participatory and integrated approach to training. This information is not widely disseminated within the Mission and among the contractors and counterparts. Further, as the process is evolving, new changes will be forthcoming and need to be communicated.

The demand for this service appears relatively high. Over 70 percent of the respondents to the demand survey indicated an interest in obtaining additional information on the USAID reengineering process and USAID’s training policies, though fewer expressed an ability to pay for the service. Further, interviews with institutional contractors revealed that many were interested in being included in more frequent discussions of the reengineering process. Also, some NGOs working with USAID activities are engaged in ongoing dialogue about training for development. They expressed an interest in USAID becoming part of this dialogue. The demand for these services by SO/RP teams is described in Annex B, Summary of Current and Future Training Needs.

Customer: Intermediate customers are SO/RP teams, their host country partners, and the Technical Assistance Contractors.

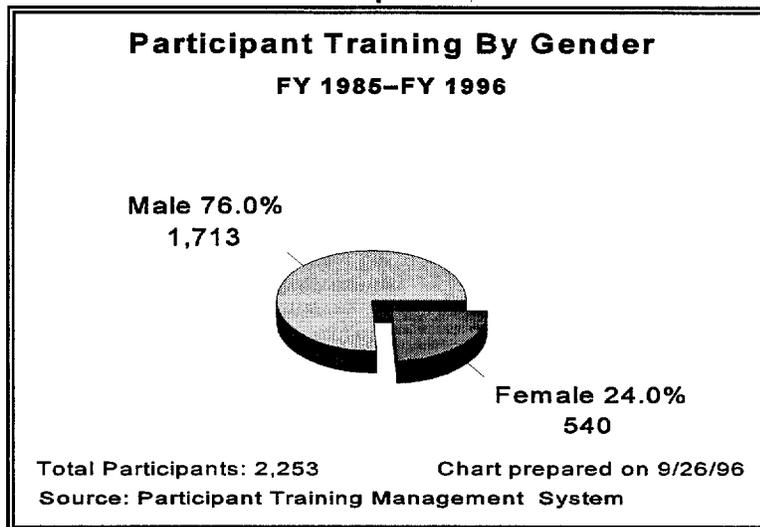
²The studies, cited on p. 19 of the GTD contract, are (1) Albert Gollin, 1966, “AID Participant Training Program—The Transfer and Use of Development Skills.” (2) Tom Moser and Laurel Elmer, 1986, “Review of Participant Training Evaluation Studies.” (3) John Gillies, 1992, “Training for Development.” (4) Roger Rasnake and Allan Broehl, 1994, “Strengthening the Human Capacity Development Strategy of USAID/El Salvador.”

Mechanism: This component will be provided by the Training Unit from the new HCD activity core funds.

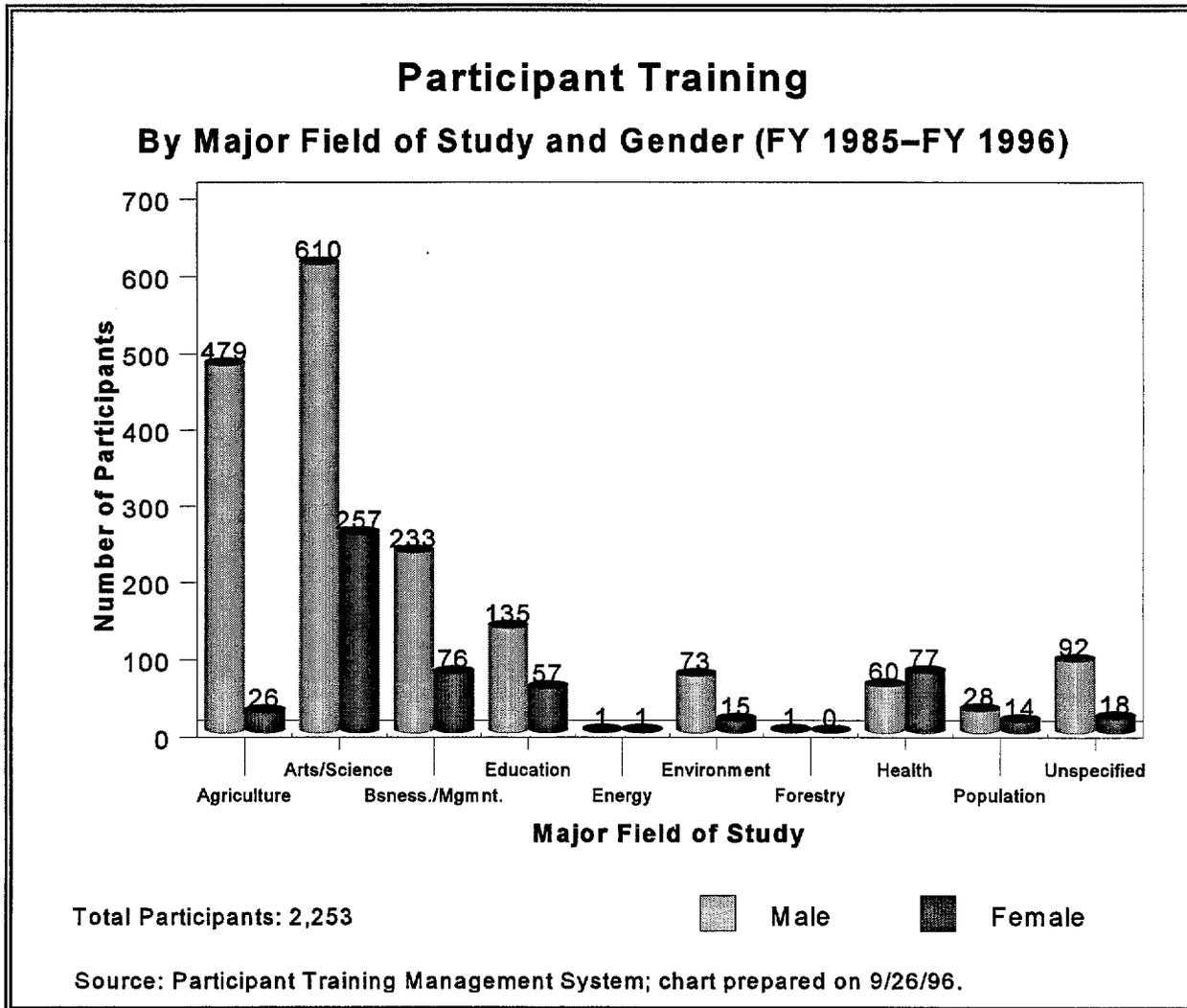
Proposed Activity (c): An annual training course to *increase gender awareness* and improve the participation of women in all USAID activities will be provided by the GTD contractor for members of the SO/RP teams and for participants in technical training programs. The courses will inform Mission teams about the current situation of women in El Salvador, based on the vast number of studies that have been conducted on women's participation in the labor force. The courses will also describe the successful recruiting techniques used by the CLASP trainers to increase the participation rate of women in CLASP training programs. CLASP used a variety of mechanisms to identify women for training, including designing creative programs for women only groups working in a variety of institutions at central, departmental and local levels; explaining and enforcing the USAID mandate with counterpart institutions; working with the women's companions to ensure familial support for the training; and networking with women's organizations throughout the country to identify candidates.

Rationale: USAID has mandated a 50 percent participation of women in training programs. In the past eleven years, women represented 24 percent of USAID/El Salvador's participant training program (see Graphic 2). In addition, they have been underrepresented in certain fields of study, such as agriculture and the environment (only 5 percent of the trainees in agriculture were women and 17 percent in the environment). (See Graphic 3.)

Graphic 2



Graphic 3



By contrast, women account for close to 40 percent of El Salvador's 2 million workers. In urban areas, the proportion rises to nearly 45 percent (ILO, 1993). This is higher than in other developing countries, in large part because women filled the employment gap left by men who fled the country during the civil war or were involved in hostilities. It is predicted by economists that women's participation rates in the labor force will continue to rise. Women's welfare and that of their children is increasingly dependent upon women's ability to earn equally to men. It is critical for the alleviation of poverty in El Salvador that women be offered equal access to USAID training opportunities to improve their skills in order to compete in the labor market.

Customer: The immediate customers are members of the Mission SO/RPs and SO/RP teams responsible for selection of candidates for training programs. Indirect beneficiaries are the trainees from the SO/RP teams' activities.

Mechanism: Core funded courses, offered by the GTD contractor.

ii. Component Two: Integrated Services

Proposed Services: This component will provide a package of *administrative support services* for U.S., third country, and in-country training. The Training Unit will familiarize the SO/RP teams on the full range of services available under this component of the activity. In general, this component covers pre- and post-training services, training placement, and administrative support services for training events. Also included in the Integrated Services is the maintenance of a *database of trainees*. A discussion of typical services available under this component follows. (A complete description of the services provided is found in Annex C, Integrated Services Package—GTD Contract.)

Pre-training services: High-impact training is best accomplished when attention is given to the following pre-training factors: conducting a performance gap analysis; recruiting and selecting appropriate candidates in a critical mass, and where appropriate, from different levels in an organization; custom designing training in concert with all stakeholders; and completing a Training Agreement Action Plan. A well-designed program normally includes a pre-departure orientation. Also included in the pre-training services are the administration processing tasks (visa, medical clearance and insurance, and travel).

Post-training services: Post training services for high-impact training programs include a re-entry seminar and follow-on activities to support application of the training and performance improvement. Follow-on is best designed at the outset of the training and discussed in *the pre-departure orientation* to ensure that the training contributes to individual and institutional performance improvement. Increasingly, responsibility for follow-on will be the joint responsibility of the RP team and the training specialist from the Training Unit working with that team.

Rationale: Although off-shore training may be reduced in scope, the need to provide related services will continue. A number of essential procedures must be completed for these programs. Many of the services extend beyond administrative processing, however, to applying the "best practices" of USAID training. The success of the CLASP project was due to the fact that these were consistently followed in each training program. Combining the pre- and post-training components with the reengineering guidance on training for all training within the Mission will contribute to greater achievement of the objectives

The demand for the training services varies. It is hard to estimate demand at this time, as many RP teams are still completing their RP planning documents or are awaiting decisions from counterpart organizations on strategic plans. However, initial responses from the interviews and the demand survey indicate sufficient interest in the courses to propose them as part of the activity. For instance, 80 percent of those responding were interested in pre-training assistance in program design. The demand for other pre-training services follows: trainee selection (64%), action plan preparation (56%), guidance on SOWs (56%), training provider selection (54%), placement services (56%), pre-departure orientation (50%), and ESL (43%).

Demand for post-training services was higher: performance monitoring (80%), evaluation of training (78%), and follow-on (65%). SO/RP teams whose institutional contractors had full-time training specialists, such as the Election Project, the Environmental Protection Project, and CRS, were less interested in these services. The demand for these services by SO/RP teams is described in Annex B, Summary of Current and Future Training Needs.

Nearly half (43%) of those responding to the survey expressed an interest in the trainee database. In the past, the database has not fully served the teams. Data were collected by the Training Unit but little information was provided to the people contributing the data. In the future, the information collected will be that which is needed by the SO/RP teams to monitor results and the Training Unit will be charged with providing information to the teams.

Customer: RP teams, extended team partners, and trainees in the Results Packages.

Mechanism: Core funding from the new HCD activity and buy-ins from the SO teams as needed.

iii. **Component Three: Training on Cross-Cutting Topics**

Two areas for training courses which cut across SO/RP teams have been proposed: *training in leadership and empowerment skills* for trainees in technical training programs and *continuing education courses* for all RP activities. These courses will support training being funded by SO/RP teams in technical areas. Each will be discussed separately.

Proposed Services (a): Training in *leadership and empowerment skills* will be provided by a local training institution for participants in technical training programs. A training specialist will be available to work with SO/RP teams and their partners to determine the most effective ways to integrate leadership and empowerment skills into their technical and management training. The training specialist will assist in designing and delivering the training.

The designs will be based on the successful programs offered for the CAPS and CLASP trainees, especially the courses prepared for the Flagship Program which provided training for elementary school teachers, mayors, emergency rescue workers, environment promoters, and women leaders. These programs, which instituted the greatest number of innovations and had the greatest impact, should serve as the models for the leadership component in this new activity.

Rationale: The need to provide leadership training for many Salvadorans in management positions as a result of deficiencies in their education has been documented, through references in the Harvard study on the education sector, in discussions with educators about the needs of the labor force, and the experiences of participants—both trainees and trainers—in CLASP programs.

Further, the challenges of reconstruction and reconciliation still facing the country require more than good technicians. They require a cadre of leaders at all levels who have the commitment, willingness, and courage to “assume the risks associated with introducing innovative approaches to

the modernization process” (HERNS 1994, p. 20). The research in El Salvador is augmented by a large body of knowledge to support the concept that learning new skills and knowledge is often not sufficient for a person to change his/her behavior. This model argues for an integrated approach which will include training in leadership and empowerment skills to enhance the technical training.

The demand for the leadership courses was high. The survey revealed strong interest in seven areas generally included in leadership and empowerment courses: interpersonal communication, negotiation, self-esteem, leadership, team building, gender sensitivity, and train-the-trainer. The responses ranged from 93 percent interested in team building to 79 percent for a self-esteem component. About one-third of the respondents expressed an ability to cover the costs of these courses for their technical training programs.

Customer: Trainees in all Mission SO/RP activities.

Mechanism: The local training specialist provided to SO/RP teams through the GTD sub-contractor with core funding through new HCD activity.

Proposed Services (b): *Continuing Education Training* for participants in all RP activities. The local contractor will provide a series of independent seminars on topics of interest to the trainees and SO/RP teams. These will range from business and financial management courses to total quality management and strategic planning. The focus and timing of the courses will be determined in consultation with the SO/RP teams, their institutional contractors, and counterparts through continuing dialogue.

Rationale: The rapidly changing world requires constant updating of skills to remain current and competitive. USAID training offers an opportunity to upgrade trainees’ skills in specific areas. On-going, continuing education programs assist Salvadoran trainees, their colleagues, and RP team members to expand their knowledge on issues critical to their activities.

The demand for these courses exists. Potential customers for the service were surveyed, using a list of topics proposed by returned Thomas Jefferson Scholars (Salvadorans who have received USAID training in the U.S. or third countries) and others knowledgeable about potential topics. High interest was expressed for courses related to management, such as customer service (85%), managing for results (100%), project design (93%), monitoring and evaluation (86%), and sustainable approaches (81%). Interest was also shown in courses on themes like modernization (90%) and decentralization (90%). Other courses included in the survey were of interest to between 30 and 50 percent of the respondents. The demand for these services by SO/RP teams is described in Annex B, Summary of Current and Future Training Needs.

This is an area in which flexibility is required on the part of the staff to continually communicate with the customers to ascertain changing needs as programs and circumstances evolve.

Customer: The customers are the trainees in all Mission SO/RP activities as well as members of the SO/RP teams.

Mechanism: Core funded series of independent courses and training programs, offered through a local training institution in response to customer demand.

iv. Component Four: Training Assistance for a Reengineered Training Unit

Proposed Services (a): The Training Unit will benefit from an externally conducted *management review* of processes, documents, and approaches currently employed by the Unit. During the review, the GTD contractor will interview the staff and conduct a Customer Service Assessment. The review will also include an analysis of the skills required for a reengineered Training Unit and an assessment of current Training Unit staff skills. If needed, the processes, documents, and approaches will be redesigned. The review will result in a technical assistance and training plan for reengineering the Training Unit, including upgrading the skills of the staff to serve as training consultants to the SO/RP teams.

An assessment will be completed in 18 months to measure progress and determine additional training needs. An additional management review will be conducted in the fourth year of the contract.

Mechanism: GTD Contractor through core funds.

Proposed Services (b): Based on the results of the management review, a plan will be developed to provide *training assistance for a reengineered Training Unit*. The purpose of this plan will be to help the staff provide advisory and support services more efficiently and effectively as contributors and full members of SO/RP teams. The GTD contractor will provide technical assistance on a bi-monthly basis during the first 18 months of the activity and quarterly thereafter.

GTD sponsored annual workshops will provide the staff with the skills to offer professional training management support to the SO/RP teams. In addition, the Training Unit will participate in the workshops conducted by the GTD contractor.

Rationale: There is a need for additional skills and knowledge on the part of the Training Unit staff for them to play a full role in the reengineering process. SO/RP teams have not fully integrated the training function into the Results Packages and they need to be brought up-to-date with the new guidance on training processes and procedures. In the transition to a new world of training, the Training Unit needs a different skill set to match the new tasks they are being asked to perform for the SO/RP teams in the reengineered training processes.

The Training Unit has already begun to work as members of the SO teams. The assistance provided by individual members of the Training Unit was described as helpful in reviewing aspects of the “total learning experience” which had been overlooked before. In particular, the SO #2, RP # 3 team was highly complimentary of the contribution of the Training Unit representative. Members of the Training Unit also expressed high interest in receiving training to be able to provide better service to their customers.

Customer: Training Unit.

Mechanism: GTD contractor services provided through core funding.

c. Qualifications of Trainees and Selection Procedures

High Impact training is achieved when the appropriate candidates are selected for training which has been targeted to correct specific performance gaps. Training is not a gift or reward. The CAPS and CLASP Projects identified several other characteristics critical to selecting appropriate candidates in order to achieve sustainable development, given the limited resources for USAID development activities. These are listed below. (Additional information on trainee selection is found in Annex I, Lessons Learned from CLASP.)

- Individuals with recognized or potential leadership abilities;
- Individuals who are “change agents,” i.e., who have the technical skills and motivation to initiate change themselves or effectively support change initiated by their colleagues, agencies, or government;
- Individuals who are able and willing to share the training with others, thus increasing the multiplier effect of the training; and
- Individuals who have the expressed support of their supervisors and upper management of their institution to implement new ideas learned during training in order to effect institutional change.

Additionally, the most successful CAPS and CLASP programs selected *a critical mass* of individuals “representing various administrative and technical levels within an institution. The power of many individuals working in coordination and harmony is greater than that of those same individuals working independently” (HERNS Report, 1994. p. 31). In some cases, selecting individuals from several levels of an institution or sector is also important (multi-level) to ensure that upper levels of management are equally committed to the changes in performance that are required to achieve the stated institutional goals and hence do not obstruct the changes trainees wish to implement.

V. IMPLEMENTATION AND MANAGEMENT PLAN

The new HCD activity will be implemented over a five and one-half year period. The proposed HCD activity will be managed under Strategic Objective 1, RP #1, with the USAID Training Unit responsible for the operational and administrative functions of the activity.

a. Implementation Methods

The HCD activity will have three methods of implementation: through the USAID Training Unit, a U.S. training contractor (selected from among five GTD contractors), and a local training contractor sub-contracted by the GTD contractor.

U.S. Global Training for Development Contractor: Under the new HCD activity, the Mission will choose one of five preselected Global Training for Development (GTD) contractors. Although recent changes to ADS 253 from USAID/G/HCD/HETS (Jessup 1996) permit the Mission or SO team to decide how best to make planning and logistical arrangements for U.S. and third-country training, the HERNS team recommends that USAID/EI Salvador select one GTD contractor for all Mission training. The anticipated volume of training is sufficiently low that management will be most efficient and cost-effective with a single training contractor. This single contractor, however, does not replace current arrangements SO/RP teams have with institutional contractors or with Global Bureau mechanisms.

After determining that the Mission will use this contracting mechanism, the Mission will prepare a Procurement Request to initiate the contract action. The request should include a “description of the anticipated nature and magnitude of training, as well as a delineation of the services required.” (GTD contract, p. 24–25.) The request is forwarded to G/HCD for final review and clearance. The Mission may designate a single awardee to whom the delivery order request should be addressed, or may request responses from more than one contract awardee. In the latter case, the Mission must specify how they will evaluate the responses to their request. The HERNS team recommends that the Mission consider a mini-competition among the five GTD contractors.

The GTD contractor will have responsibility for providing the services “related to individual or group participant training. Services will include providing an integrated package of participant trainee support services that may incorporate some or all of such in-country activities as training program development, related training needs assessment, trainee selection, documentation, logistical arrangements, and post-training follow-on programs, in addition to U.S. or third-country placement, program monitoring and administrative support (e.g., travel, maintenance allowances, applicable taxes” (Global Training for Development contract).

Services currently anticipated to be delivered by the GTD contractor for USAID/EI Salvador are:

- Component 1, Technical Assistance to SO/RP teams;

- Aspects of Component 2, Integrated Services, which require U.S.-based services; and
- Component 4, Support for Reengineered Training Unit.

A complete description of the integrated services component is found in Annex C. The GTD contractor will be issued a one year Delivery Order, renewable annually.

Local Training Contractor: The GTD contractor will sub-contract with a local training institution to implement Components 3a and 3b—training on integrated leadership and empowerment and on cross-cutting topics. This training may be provided through stand-alone modules or through a curriculum integrated with the technical training. The local institution will also provide the aspects of Component 2 which require in-country training, including pre-departure training for large groups, and re-entry and follow-on services for all trainees. By having the same team provide the services—leadership training, action planning, re-entry, and follow-on—continuity and coherence are best obtained.

The local contractor will provide a training specialist to work with the Training Unit and SO/RP teams to determine efficient and effective ways to integrate these element of training into the technical training. The services of the training specialist will be required from the beginning of the contract in order for the specialist to participate in the initial planning workshops. It is anticipated that this person will also participate in the design of the Customer Service Plan.

The HERNS team visited several local educational and consulting firms and spoke with a variety of individuals about local capacity. Currently, USAID/El Salvador is using several local consultants and educational institutions to deliver training in a wide variety of areas. Many have had experience with the highly successful CAPS and CLASP programs and have provided follow-on programs and other types of training related to CAPS and CLASP. The HERNS team has concluded, as a result of these interviews, that sufficient capacity exists within El Salvador to provide the needed services for this component. (See Annex H for a description of local institutions visited.)

b. Implementation Schedule

The HERNS team recommends that the activity begin in the second quarter of FY97 with the Management Review and Customer Service assessment of the Training Unit. This will set in motion the technical assistance and training plan that will provide the skills needed to support the SO/RP teams. This component will require a GTD contractor with skills in redesigning the Training Unit functions.

Within a month of the Management review, GTD would facilitate a Strategic Planning workshop. This would provide the initial training for the SO/RP teams, as well as for the Training Unit. During the visit of the GTD team providing the initial workshop, the GTD team would provide technical assistance to SO/RP teams in strategic planning of training for their Results Packages. These consultations would be conducted by the GTD consultants, jointly with members of the Training

Unit and the training specialist from the local institution sub-contracted by GTD. The joint consultation will provide hands-on training for the Training Unit staff and the training specialist.

Following the initial planning workshops, workshops will continue on a bi-monthly basis. The implementation of the technical assistance and training plan will coincide with the seminars for the SO/RP teams. As the Training Unit staff and local training specialist begin working with the SO/RP teams to determine training needs in the various categories (leadership, gender awareness, continuing education) and services for third country and U.S. training, they will prepare a work plan to implement these courses. The training specialist will work closely with the Training Unit to implement the courses.

c. Management Methods

USAID Training Unit: The activity will be under the direction of the Human Capacity Development Manager (HCDM). Four additional staff members will manage and implement the activity: an Activity Manager, two training assistants, and a training clerk.

Each of the activity team members will serve as training liaison members of SO/RP teams. They will establish a close relationship with the SO/RP teams to assist them in all phases of training for improved performance. This approach establishes the Training Unit as the “thread of continuity” that provides a coherent and strategic approach to the use of training.

This liaison role involves two principal elements: (a) helping to implement pre-training activities (performance gap analysis, trainee selection, training design, and mapping out the action plans to be implemented as part of follow-on) and (b) integrating post-training support (reentry and follow-on seminars, and monitoring and evaluation) into the RP teams’ ongoing technical assistance and/or other activities to ensure that results are achieved. As stated earlier in this document, “Increasingly, responsibility for follow-on will be the joint responsibility of the RP team and the training specialist from the Training unit working with that team” (page 9).

The principal function of the Training Unit staff will be to proactively promote the role of training in achieving improvements in individual and institutional performance. Staff will:

- Advise the SO/RP teams about the human capacity development needs in achieving strategic objectives and results;
- Provide information about opportunities being offered by the new HCD activity for assessing human resource constraints. These will include strategic planning workshops, technical assistance from GTD training specialists to work with SO/RP teams in assessing performance deficits, and developing training plans, and other services as needed;

- Advise SO/RP teams to collaborate with stakeholders in assessing training needs, training solutions, selecting individuals who can affect institutional performance, and developing Training Agreements;
- Provide information on training courses/trainers appropriate to the RP objectives;
- Advise teams on the design of training for improved performance, including the importance of the pre- and post-training components as standards for reengineered training;
- Support the integration of leadership and empowerment training into RP technical training;
- Participate in establishing performance indicators for monitoring the training;
- Collect data needed for reporting on SO #1, RP #1's training indicators;
- Provide guidance on follow-on activities that will facilitate the re-entry of trainees (when appropriate) and reinforce the application of new skills, recognizing that follow-on activities are the joint responsibility of the RP team and Training Unit;
- Inform RP teams about effective cost-containment measures;
- Survey RP teams and partners for cross-cutting training needs that could be provided by the new HCD activity;
- Report to the RP team leader; and
- Facilitate compliance with appropriate ADS 253 training policies and procedures, including Agency gender targets of 50 percent women and the target of 10 percent placement at HBCUs.

The additional functions of each position are described below.

The Human Capacity Development Manager: The HCDM will have overall responsibility for “planning, coordination, and operational management of all participant training, including elements implemented by Mission training staff, strategic objective teams, contractors, the Missions’ placement contractor(s), host governments and other organizations and agencies (ADS 253.2). He/she will ensure that the principal reengineering functions related to training in the Mission are attained, as described in the functions of the staff as liaisons to SO/RP teams.

This will include linking all training to the appropriate SOs by providing support and technical guidance to SO/RP teams; establishing that training events are designed, developed, and implemented to achieve results; and ensuring that the necessary support services are provided by the Training Unit, GTD contractor, and the local institutional contractor.

The HCDM should have adequate background and skills to provide advisory services on training. This includes a solid understanding of human resource constraints to development, how training can meet those needs, as well as skills in planning and implementing training activities. The HCDM should also have skills to facilitate group discussions.

Activity Manager: The activity manager will provide direct oversight of the both the GTD contractor and the local institution. He/she will manage the delivery order buy-ins from the SO/RP teams and will provide the necessary information to the contractors to enable them to provide services and oversee performance, according to the Delivery Order. The activity manager will ensure that the GTD contractor satisfactorily provides placement and processing services for some third country and U.S. training and will ensure that the local training provider's delivery of in-country training is satisfactory.

The Activity Manager will also have fiscal responsibility for activity funds. Through substantial dialogue with the contractor, the Activity Manager will ensure that the Mission's investments in training are cost effective, of high programmatic quality, and designed and measured for impact. The Activity Manager will receive oversight from the HCDM.

Training Assistant: One training assistant will be responsible for information dissemination and coordination of Training Unit activities including:

- Maintenance of the database as required by ADS 253 (currently PTMS);
- Dissemination of information about ADS 253;
- Researching and maintaining the information on training courses appropriate for the SO/RP teams;
- Consolidation of all SO training plans into Mission training plan;
- Preparation of periodic statistics;
- Production of the annual financial report for the Controller; and
- Other duties as assigned.

Another **Training Assistant** will be responsible for follow-on activities, including:

- Reviewing Training Agreements prepared by SO/RP teams with respective Training Unit Liaison;
- Collaborating the SO/RP teams to establish performance indicators, baselines, and targets;
- Coordinating the re-entry and follow-on programs as requested by the SO/RP teams, in conjunction with the HCD activity manager;
- Distributing pre- and post-training follow-on questionnaires to assist RP teams monitor performance;
- Collecting data for training indicators; and
- Other duties as assigned.

The *Training Clerk* will be responsible for:

- Pre-training processing and logistical arrangements for U.S., third country, and in-country training;
- Providing administrative support for the Training Unit;
- Other duties as assigned.

**Table 2
Method of Implementaiton and Management Staffing Plan**

Component	Method of Implementation	Summary of Management Plan
1. Assistance to SO/RP Teams	Delivery Order with a GTD contractor and its sub-contracted local institution and USAID Training Unit	GTD contractor responsible for workshops and technical assistance in the strategic planning process with RP teams. Training Unit serves as liaisons to teams and is responsible for information dissemination and coordination among partners.
2. Integrated Services	USAID Training Unit and Delivery Order with GTD contractor and its sub-contractor	USAID provides guidance to SO/RP teams on pre- and post-training services, processes documentation, maintains database, and places trainees in third countries. GTD contractor provides placement and monitoring services in U.S. Local training institution provides pre-departure orientation for large groups and all re-entry seminars and follow-on activities.
3. Training on Cross-Cutting Topics	GTD sub-contract with local training institution	Local contractor designs and implements integrated training on leadership and empowerment, re-entry and follow-on activities. Designs and implements training on cross-cutting topics, as requested by USAID Training Unit for SO/RP teams.
4. Support for Reengineered Training Unit	Delivery Order with GTD institution	GTD contractor will conduct management review of Training Unit, draft a technical assistance and training plan, and implement plan.

d. Monitoring the Implementation

The monitoring implementation plan will follow standard Mission practices for reporting on activities. The implementation performance will be judged by internal self-assessments, customer service assessments, both formal and informal, and by the level of demand for the services.

VI. FINANCIAL PLAN

a. Activity Budget

The new HCD activity will be implemented over a five-and-one-half year period with a LOP funding of a \$5,485,110, not including buy-ins from SO/RPs or counterpart contributions. The estimated costs per fiscal year are detailed in Table 3 by activity component.

Component	FY97 (6 mo.)	FY98	FY99	FY00	FY01	FY02	Total (US \$)
1. Assistance to SO/RP Teams	76,300	107,678	71,939	75,535	79,312	86,851	497,615
2. Integrated Services (covered by USAID Admin Costs)	0	0	0	0	0	0	0
3. Training on Cross-cutting Topics	180,655	443,915	466,111	489,416	513,887	539,581	2,633,565
4. Support for Reengineered Training Unit	54,950	82,740	35,060	36,812	52,388	40,586	302,536
GTD Admin Costs	5,420	13,317	13,983	14,682	15,417	16,187	79,006
USAID Admin Costs	16,500	132,531	169,087	177,629	186,607	196,044	878,398
Audit/Evaluation	0	117,498	138,795	129,542	0	303,493	689,328
Contingency	22,988	65,001	67,991	73,654	70,808	104,220	404,662
Total	356,813	962,680	962,966	997,270	918,419	1,286,962	5,485,110

The obligation for FY97 is expected to be \$250,000 for the new activity. In addition, approximately \$140,000 remaining from CLASP will be available for the new activity. These funds will be used before the PACD of CLASP and will not be added to the new HCD activity.

If reduced levels of core activity funding are required, cuts could be made to Components 1 and 3, audits, evaluations, and contingency. The greatest source of cuts could come from reducing the number of core-funded workshops offered through Component 3. (Table 4 shows various scenarios for budget reductions.) In this case, core funds could be replaced through buy-ins from SO/RP

teams, who have expressed a willingness to pay for the workshops. Multiple funding sources (different SO teams) would therefore contribute to this component via the use of NMS.

Component	LOP Amount	90% Level	80% Level	75% Level
1. Assistance to SO/RP Teams	497,615	448,000	380,000	370,000
2. Integrated Services	0	0	0	0
3. Training on Cross-cutting Topics	2,633,565	2,230,000	2,000,000	1,800,000
4. Support for Reengineered Training Unit	302,536	302,536	302,536	302,536
GTD Admin Costs	79,006	66,900	60,000	59,250
USAID Admin Costs	878,398	878,398	878,398	878,398
Audit/Evaluation	689,328	620,000	530,000	500,000
Contingency	404,662	390,765	237,154	203,649
Total	5,485,110	4,936,599	4,388,088	4,113,833

b. Sources of Funds

There are two sources of funds for the new HCD activity: core activity funds and buy-ins from SOs. The core funds will be obligated annually and will cover 100 percent of the costs of the Assistance to SO/RP Teams, Support for Reengineered Training Unit, USAID Administrative Costs, and Audits and Evaluations. Core funds will cover virtually all the costs for Training on Cross-cutting Topics, except where an SO team requests custom-designed in-country training. In this case, the SO will fund the training through a buy-in to the local contractor. Likewise, while the Training Unit will provide assistance through core activity funds for Integrated Services, technical/management training costs (placement, tuition, allowances) will be funded through buy-ins to GTD from the SO.

The buy-in level is to be determined (TBD) each year during strategic planning workshops in which the GTD contractor works with each SO/RP team to develop training plans. (See Component 1 of Proposed Intervention.) The requests for buy-ins may be amended quarterly.

c. Methods of Implementation and Financing

There will be three primary methods of implementation of the new HCD activity: the USAID Training Unit staff, a U.S. training contractor (selected from among the five GTD organizations), and

a local training contractor. The methods of financing will include delivery orders to the contractors and internal billing to cover USAID Administrative Costs.

The methods of implementation and financing for each component are summarized in Table 5 as follows:

Activity Component	Method of Implementation	Method of Financing	Estimated Amount (US \$)
1. Assistance to SO/RP Teams	GTD Contract	Delivery Orders under GTD	497,615
2. Integrated Services	USAID Training Unit and GTD Contract	<i>Admin costs:</i> Activity Mngt <i>Training costs:</i> Buy-ins from SO/RPs to GTD	0 TBD
3. Training on Cross-cutting Topics	Local Training Contract	Subcontract to GTD Contract	2,633,565
4. Support for Reengineered Training Unit	GTD Contract	Delivery Orders under GTD	302,536
GTD Admin	GTD Contract	Delivery Orders under GTD	79,006
USAID Admin	USAID Training Unit	Internal billing	878,398
Audits	Direct USAID Procurement to Audit Firm	Contract to Audit Firm	389,860
Evaluations	Direct USAID Procurement to IQC Firm	Delivery Order under Evaluation IQC	299,468
Contingency	USAID Training Unit	Internal Billing	404,662
Total			5,485,110

d. Audit and Evaluation Requirements

The U.S. training contractor (GTD) will be required to have audits by a CPA firm and evaluations by an external organization, as specified in their contract with USAID/Washington. These will be supervised and funded by USAID/Washington. Every other year, the core activity funds will cover the costs of audit of the local contractor and USAID/El Salvador. External evaluations will be conducted, as needed, with core funds. However, because performance monitoring data will be collected through the “Integrated Services” component, the need for evaluations will be minimalized.

e. Recurrent Costs and Counterpart Contributions

Recurrent costs and sustainability are not issues in this activity because there will be no local institution directly organized or otherwise assisted as an objective of the new HCD activity.

Likewise, there is no single host country counterpart institution participating in this activity. However, within each SO, counterparts have been identified and will be required to fund a portion of training costs as specified in their agreements. Generally, the counterpart contribution will consist of (1) the salaries of the trainees for the duration of the training program and (2) use of training equipment.

The dollar equivalent of the counterpart contribution for the new HCD activity cannot be estimated at this point in time. Once training plans are developed and figures are available for the buy-in levels (to be estimated during Phase I of each fiscal year), a counterpart contribution can be calculated. Given that Components 1 and 4 do not directly benefit a counterpart, the new HCD activity will not be required to meet the standard 25 percent contribution.

f. Financial Management Procedures

The core activity funds will be managed by the HCD activity manager, with oversight from the HCDM, the Strategic Development Office, and the Controller's office. Every effort will be made to contain both administrative and training costs.

The budget includes contingency funds to be used to cover unexpected needs. Use of these funds are at the discretion of the HCDM and HCD Activity Manager. Access to the funds are not to replace the need for SO/RP planning and use of their own contingency funds.

The buy-in component of the activity (Component 2) will be financed by multiple funding sources, i.e., SO teams. The teams will contribute to a single, shared activity—the new HCD activity—via the use of New Management System (NMS). Buy-in funds will be at the discretion of each participating SO team. The SO team will make annual requests for training through the NMS, with quarterly amendments as needed. The funds will be pooled through the HCDM—who will also serve as the COTR Technical Liaison Officer (TLO) for GTD and local contractor agreements—and relayed to the GTD contractor through delivery orders. Delivery orders will be billed by invoice, specifying the cost for each SO.

At this point in USAID reengineering, no further financial management guidance is available from USAID/Washington. For this reason, Missions throughout USAID will be experimenting with the mechanics of funding training from multiple sources via the use of NMS.

Table 6
Budget for New HCD Activity

Year		0	1	2	3	4	5	6
Inflation factor by year		0%	5%	5%	5%	5%	5%	5%
Colones/US\$ by year		8.7	8.7	8.7	8.7	8.7	8.7	8.7
Staff members	4	Salary	Wage Inc	ISS	Med Ins	Life Ins	Retire-ment	Ret-Inc
Dora		227,725	0.05	0.07	4,514	2,133	471	0.1
Claudia		147,081	0.05				264	0.1
Yamilet		127,719	0.05				274	0.1
Myriam		149,377	0.05				450	0.1
Applicable %		0	0.75	1	1	1	1	1
Allocation \$	3,000							
Communications	24,000							
Office Supplies	9,000							
	\$/day	days/yr						
GTD Contract Manager	700	0						
GTD Financial Manager	600	0						
GTD Fee on subcontract (3%)	0.03	0.03	0.03	0.03	0.03	0.03	0.03	0.03
Audits	3	0	0.2	0	0.2	0	0.2	0
Evaluations	2	0	0	0.15	0	0	0.15	0
Contingency		0.07	0.07	0.07	0.07	0.07	0.07	0.07
Consultants	\$/day	Per Diem	Air Fare	Other				
	700	150	800	2,000				
Consultant days per year C-1a-SP Workshops		40	40	20	20	20	36	20
trips per year		2	2	1	1	1	2	1
Consultant days per year C-1a-High-Impact Workshops		21	42	28	28	28	28	28
trips per year		3	6	4	4	4	4	4
Consultant days per year C-1a-Gender Workshops		9	9	9	9	9	9	9
trips per year		1	1	1	1	1	1	1
Consultant cost per year C-3a		25,000	65,000	65,000	65,000	65,000	65,000	65,000
number of days		100	260	260	260	260	260	260
ODC		6,000	12,000	12,000	12,000	12,000	12,000	12,000
Consultant days per year C-4a		30	30			10		
trips per year		2	2			1		
Consultant days per year C-4b		21	42	28	28	28	28	28
trips per year		3	6	4	4	4	4	4
Seminars - 3b	Cost	YR0	YR1	YR2	YR3	YR4	YR5	YR6
2-day seminars per year (fixed cost)	13,000	6	18	18	18	18	18	18
5-day seminars per year (fixed cost)	30,000	6	12	12	12	12	12	12
Persons per seminar (if seminar costs are variable)		1	1	1	1	1	1	1
Per Diem (variable: x days x trainees)	100							
Travel (variable: x trainees)	50							
Trainees/seminar	25							

Table 7
Notes for HCD Budget

Component 1: Assistance to SO/RP Teams

a. Advisory Services (GTD)(Core)

Strategic Planning Workshops

1997 Phase I: Time: 2 consultants x 20 days = 40 days x \$700/day = \$28,000

Materials: \$11,600 (travel, transportation, per diem, visa, insurance, workshop facilities, supplies, communications)

1998 Phase I: Time: 2 consultants x 20 days = 40 days x \$735/day = \$29,400

Materials: \$12,180

1999–2002: Level of effort decreased to 1 consultant x 20 days and ODC remains constant (plus inflation factor).

High-impact Training Workshops (Phase II) (Consultants who conduct workshops will provide training under Component 4)

1997 Phase II: Time: 1 consultant x 7 days x 3 trips = 21 days x \$700 = \$14,700

Materials: \$11,550

1998 Phase II: Time: 1 consultant x 7 days x 6 trips = 42 days x \$735 = \$30,870

Materials: \$24,255

1999–2002: Each year requires 1 consultant x 7 days x 4 trips = 28 days, plus materials

Gender Workshops (Phase II)

1997 Phase II: Time: 1 consultant x 9 days x 1 trip x \$700 = \$6,300

Materials: \$4,150

1998 Phase II: Time: 1 consultant x 9 days x 1 trip x \$735 = \$6,615

Materials: \$4,358

1999–2002: Each year requires 1 consultant x 9 days, plus materials

b. Information Dissemination and Coordination (TU)(Core) covered under "USAID Administration Costs" below TD)(Core)

Component 2: Integrated Services

a. Administrative Costs: (TU) (Core) covered under "USAID Administration Costs" below

b. Training Costs: (GTD/local contractor)(Buy-in) placement, monitoring, tuition, and allowances funded through buy-ins from SOs to GTD or subcontract to local contractor

Component 3: Training on Cross-Cutting Topics

a. Leadership/empowerment (Local)(Core) (integrated with technical training activities)

1997 Phase I: Time: 15 days x \$250/day = \$3,750

1997 Phase II: Time: 85 days x \$250/day = \$21,250

Materials: \$6,000

1998 Phase I: Time: 15 days x \$262.50/day = \$3,938

1998 Phase II: Time: 245 days x \$262.50/day = \$64,312

Materials: \$12,000

1999–2002: Each year will have similar time and materials requirements. All other training costs covered by SO/RP (i.e., facilities, materials).

b. Continuing Education (Local)(Core) (Modular workshops)

1997: 6 2-day workshops x \$7,744 (training fees, per diem, transportation) = \$46,464

6 5-day workshops x \$17,198 (fees, per diem, transportation) = \$103,188

1998: 18 2-day workshops x \$8,132 = \$146,376

12 5-day workshops x \$18,058 = \$216,696

1999–2002: Budgeted at 18 (2-day workshops) and 12 (5-day workshops)

Workshop costs based on estimates from local institutions plus travel/per diem for 25 participants. Differences between budget and budget notes due to rounding.

Component 4: Support for a Reengineered Training Unit

a. Management Review of TU/CSA (GTD)(Core)

1997 Phase I: Time: 2 consultants x 15 days x \$700/day = \$21,000

Materials: \$10,100

1998 Phase I: Time: 2 consultants x 15 days x \$735 = \$22,050

Materials: \$10,605

1999–2000, 02 No services required

2001: Time: 1 consultant x 10 days, plus materials

b. Training/TA (GTD)(Core) (Consultants will also provide Component 1 workshops)

1997 Phase II: Time: 1 consultant x 7 days x \$700/day x 3 trips = \$14,700

Materials: \$9,150

1998 Phase II: Time: 1 consultant x 7 days x \$735/day x 6 trips = \$30,870

Materials: \$19,215

1999–2002: 1 consultant x 7 days x 4 trips, plus materials

GTD Administrative Costs: Fees for contract and financial managers are covered by the labor multiplier, as per the GTD contract (Section B.3, Notes). GTD contractor may charge a subcontract fee of 3 percent (of Component 3).**USAID Administrative Costs:** Staff salary costs are based on current staff salaries plus grade increases in FY98 and steps increases each of the remaining years. Through December 1997, staff salaries will be covered through OE (for the Training Clerk) and the CLASP project (other three FSNs). Estimates for staff benefits, allocation costs, communications, and supplies were estimated by USAID.**General:** FY97 calculated at ½ year; 5% inflation/year; audits @ 7%; evaluations @ 5%; contingency @ 7%. "Materials" includes airfare calculated @ \$800, per diem @ \$150, and miscellaneous @ \$2000/trip.

VII. ANALYTICAL – CONSULTATION PROCESS

a. Methodology

As the completion of CLASP approached, USAID/El Salvador began discussing the future of training in the Mission. The focus of the discussions was on how to apply the lessons learned from CLASP in a reengineered USAID. In early 1996, OHE/E&T Division produced an issues paper that opened discussion on the future role of human capacity development (HCD) in the Mission. A mini-retreat and Training Strategy followed. In October 1996, USAID sought the services of the HERNS contract to further the design of a new HCD activity.

The HERNS team, composed of two training experts, was tasked with designing an HCD activity. To initiate the assignment, the HERNS team reviewed key Mission strategy documents, as well as training reports and new designs from throughout USAID. (See Annex E, Bibliography.) The document search focused on best practices for achieving training results and how this might be accomplished under the Mission's new strategy. The team next met with 65 representatives from Strategic Objective teams, institutional contractors, NGOs, and local training institutes. (See Annex F, List of People Contacted.) The purpose of the meetings was to gain (1) a better understanding of past and current training activities, and (2) a preliminary assessment of future demand for training and training support services offered through a new HCD activity.

To complement the findings from the interviews, the team administered a demand survey to 55 people, of which 31 percent completed the survey. The majority of respondents were from SO1, the Mission's largest SO. The purpose of the survey was to probe more specific ideas for training and support services and the preferred mechanism for implementing them. (See Annex D, Demand Survey Instrument.) The proposed intervention is a composite of the demand survey, the interviews, and the document review. The HERNS team efforts were one phase of an on-going analytical/consultation process that will continue throughout the life of the activity.

b. Risks and Assumptions

A wide range of issues was raised throughout the process. A few of the key issues—in the form of risks and assumptions—are addressed below, with the remainder being addressed throughout the document.

Estimating Demand for an HCD Activity. The main risk of this activity is that, when the time approaches for implementation, there may be low demand for training and training support services through the new activity. Likewise, there may be a higher demand than expected. For several reasons, the HERNS team was able to estimate only the nature of demand, and not the scope of the demand. First, the Mission Training Plan for FY97 was incomplete at the time the HERNS team was in-country. Given that SO teams were working on their RP designs, it was premature for them to

address issues about specific interventions. A strategic review of the Results Packages, once approved, will allow for a proper and thorough assessment of human resource constraints. The assessment will result in precise estimates for future training.

Second, future demand could not be based on past demand for a Mission-wide training activity because of a few significant differences between CLASP and the new activity. CLASP was a stand-alone training project, generously funded. The new activity will be funded at a considerably lower level than CLASP. It will require full integration with SO/RP teams in order to serve them more effectively. A significant portion of funding for technical and management training will come from buy-ins from SOs, which are also facing reduced budgets. Given this set of circumstances, SO teams expressed concern about buying CLASP-like training designs, which: (1) are perceived to cost more; (2) require trainees to spend additional time away from home and work; (3) might make it more difficult to link the use of SO resources spent on “supplemental” training activities to SOs; and (4) compete with other mechanisms available for training. (See discussion below about competing mechanisms.)

At this time, demand for the new activity is sufficiently strong. The activity will address the risk of unpredictable demand by starting each fiscal year with workshops and technical assistance for SO teams to assess human capacity constraints and performance gaps. This will allow for a more precise estimate of demand and will form the basis of the delivery orders for the U.S. and local contractors. (Please refer to the section “Proposed Intervention” for greater details on how the planning phase will result in more precise estimates on the nature and scope of training.) If demand exceeds the current budget and staff capacity, the activity team, in collaboration with SO/RP teams, will set criteria for serving SO/RP teams. The team will also consider devising a cost-sharing plan. If demand is far less than the budget and staff capacity, SO1 leadership must consider reducing the budget or staff.

Competing with Other Mechanisms for Implementing Training. A second major risk of funding a new HCD activity in the Mission is that it competes with other mechanisms for implementing training. Several SO/RP teams have existing agreements that require their institutional contractor to provide training. In several of these cases, the contractor’s ability to provide technical training in highly specialized fields will be difficult to match through any general training activity. There are also several SO areas that have considerable buy-in opportunities from USAID/Washington-managed activities, many of which include training. The competition among training mechanisms may adversely affect the demand for the new HCD activity.

To address this risk, the new activity must make a strong effort to demonstrate the cost-effectiveness of training and training support services offered through the new activity. The proposed intervention includes workshops for extended SO teams intended to create a demand for results-oriented training, while at the same time providing instruction on how to strengthen training results.

Reengineering the Mission Training Unit. The consultations revealed a perception of the Training Unit as a processing and independent support unit, with a focus on compliance (formerly with Handbook 10 and now with ADS 253). The success of the new activity will require that the TU be

reengineered, with greater focus on its immediate customers—SO/RP TEAMS. The reputation of the TU must continue to evolve as a unit that cooperates fully with SO/RP TEAMS to achieve results through cost-effective integration of training with other development tools. The TU must maximize its role as a support office, providing advisory services and collaborating with SO/RP TEAMS to achieve the Mission's objectives.

The first phase of the proposed intervention addresses this issue by including an externally conducted review of the processes, documents, and approaches employed by the Training Unit in conjunction with a Customer Service Assessment. (Refer to the "Proposed Intervention" for more details.)

Linking the HCD Activity to a Single Strategic Objective. A key assumption in the design of the new HCD activity is that it is *not* essential that an activity support one *single* IR or SO. The fact that the new HCD activity is designed to support multiple IRs and all SOs should strengthen—not weaken—the justification for funding the activity.

The perception that "training" must fit neatly on the Mission's Results Framework under a single SO is challenged by the fact that RFs are intended only to highlight "results" and not the "inputs" for achieving them. Therefore, training, as an input, would not normally appear on an RF. However, if an RF were detailed down to the level of inputs (or activities), training would, by definition, need to be included under *each* SO. (As an "input," training might have generic indicators, but performance indicators for training "results" should be developed for each specific higher-level IR to which they contribute.) Further, as reengineering evolves, USAID managers will feel more empowered to justify their strategies through logical narratives rather than through boxes and diagrams.

The design of the new HCD activity treats training as an input that cuts across SOs. It also assumes that the activity is managed by SO1 because its team includes the Training Unit staff. No other efforts are made in this document to justify the new HCD activity's placement under SO1.

VIII. CUSTOMER SERVICE PLAN

The Customer Service Plan (CSP) will provide a guide for *what* the Training Unit will do to respond to the needs of its customers, and *when* and *how* it will do it. Therefore, the CSP will serve as an implementation plan with a schedule of Training Unit services and performance indicators and performance targets for delivering the services.

The CSP is intended to complement the Performance Monitoring Plan (PMP). The CSP is more narrowly focused on one specific type of result—service delivery performance of the Training Unit from the customer’s perspective. The TU has primary responsibility for implementing the CSP. The PMP, on the other hand, will focus on the delivery and results of training and, as such, will require collaboration between the TU and the SO/RP teams.

The two primary methods for collecting information to design the CSP will be (1) SO/RP strategic planning workshops facilitated by the GTD contractor, and (2) Customer Service Assessments (CSA) conducted by the GTD contractor. Both methods will be employed in the planning phase of each fiscal year. The strategic planning workshops will result in training strategies and training plans for each SO/RP team, thus allowing the Training Unit to develop an implementation schedule. The CSA will provide feedback on customers’ satisfaction, perceptions, preferences, and related opinions about the activity’s service delivery performance. The assessments will allow the Training Unit to establish performance indicators and set targets for their performance.

a. Identifying the Customer

The immediate customers for the new HCD activity are the SO/RP teams. The activity core management team—the Training Unit—will support the needs of the SO/RP teams by facilitating their use of training to achieve results. In collaboration with the SO/RP teams, the TU will serve USAID trainees—the next level of intermediate customer. In turn, the TU, SO/RP teams, and trainees will focus on achieving impact on the ultimate customer—the rural poor of El Salvador.

b. Defining and Scheduling the Plan

The new HCD activity’s CSP will focus on the needs and perceptions of the Training Unit’s immediate customer—the SO/RP teams. The responsibility for assessing and responding to the needs of the trainees and rural poor will be the shared responsibility of the GTD contractor, the Training Unit, and SO/RP teams. Therefore, the CSP for this activity will be integrated with each SO’s Customer Service Plan.

In the planning phase of each fiscal year the GTD contractor will facilitate planning workshops with each SO/RP team. (See Component 1: Assistance to SO/RP Teams in Section IV: Proposed Intervention.) The purpose of the workshops will be to develop an overall strategy for using training

to achieve results, a preliminary training plan, and performance indicators and targets for training under each SO. GTD will use relevant information from these meetings to help formulate the Customer Service Plan.

An initial Customer Service Assessment for the Training Unit will be conducted by GTD in the planning phase of the first fiscal year. (See Component 4: Support for Reengineered Training Unit in Section IV: Proposed Intervention.) GTD will work in-country using standard social science investigation techniques, i.e., key informant interviews, focus groups, surveys, and document reviews, to conduct the assessment. The main source of information will be the SO/RP teams, as well as their partners—GOES/NGO counterparts and technical assistance contractors. The CSA should employ indicators such as importance, usefulness, quality, reliability, and timeliness of the Training Unit services; convenience and simplicity of working with Training Unit; emphasis on results rather than compliance; responsiveness and support for SO/RP team's objectives; willingness to work as partners; competency as training liaisons on SO/RP teams; and cost-effectiveness of the services compared to other mechanisms available for training.

GTD will use the findings from the strategic planning workshops and CSA to help the Training Unit formulate their Customer Service Plan, especially in terms of performance indicators and targets, in addition to an implementation schedule. (These activities may also be useful in developing selected aspects of the Performance Monitoring Plan.) The Training Unit will have primary responsibility for ensuring that the CSP is implemented.

In the planning phase of each subsequent year of the activity, GTD will also facilitate strategic planning workshops, a CSA, and CSP. The Training Unit will be required to continually supplement the findings of the workshops and CSA. The Training Unit will administer questionnaires or conduct focus groups after selected interventions, and seek informal, on-going feedback from SO/RP teams.

c. Assigning Responsibilities

The HCDM will assume primary responsibility for ensuring that annual strategic planning workshops and Customer Service Assessments are conducted, and that the Customer Service Plan is developed, implemented, and reviewed annually. The workshops, CSA and corresponding CSP will be facilitated by services of the GTD contractor.

IX. PERFORMANCE MONITORING PLAN

The purpose of the Performance Monitoring Plan (PMP) will be to collect, analyze, and report progress and results data for the new HCD activity. In this document, the PMP will define success for the new activity, propose indicators for monitoring progress toward achievement of IR/SOs, and outline plans for data collection and reporting. During the start-up phase of the activity, the PMP will specify indicators for each participating SO/RP, the monitoring services that will be provided, and the systems and instruments that will be used for data collection and data management.

a. Expected Results and Proposed Indicators

“Results” are expected at various steps along the path that links training to SOs, as illustrated on the table below. The first steps are to *strategically plan training* and *then manage training for results*. If done effectively, the planning and implementation will allow trainees to *acquire the targeted skills, knowledge and attitudes*. The acquisition of SKAs is a necessary precondition for a trainee to transfer or *apply SKA* to the workplace, thereby improving the trainee’s performance. (“Improved transfer of technical and management skills” has been identified by USAID as the primary result of the new HCD activity.) Trainees’ improved performance, then, contributes to improved performance of the partner institution. In turn, improved institutional performance will *contribute to the Results Package objective*. The partner’s improved performance will, thereby, *contribute to the Strategic Objective*.

Identifying the various stages and the expected results allows activity managers and SO/RP teams to trace a plausible link between training “results” and the SO. Likewise, it allows the teams to measure progress toward achievement of IR/SOs at various points in time.

b. Data Collection and Reporting Plan

Stakeholders of the new HCD activity will be the main sources of data for the PMP: SO/RP teams, the Training Unit, institutional contractors, training providers, trainees and their supervisors. Data will be collected through standard rapid appraisal methods: interviews, focus groups, on-site observation, written questionnaires, and document reviews.

The schedule for collecting data will vary according to the result being measured, as indicated on Table 8. For example, the acquisition of SKA may be measured immediately upon completion of training. The application of SKA, however, is best measured no sooner than six months after training.

The Training Unit will take the lead for ensuring that performance monitoring data are collected on the planning, implementation, and acquisition steps (see first two columns of Table 8) for training conducted through the HCD activity. The TU has primary responsibility for achieving results—and

therefore measuring results—for these first few steps. Monitoring the application step (third column) must, however, be a collaborative effort between the TU and the RP teams. SO/RP teams will take the lead in monitoring higher level results.

Under the new HCD activity, the TU will be proactive in collecting and reporting results-oriented data. They will work with SO/RP teams to identify key issues and develop indicators that will more tightly focus data collection and analysis. The “Management Review” of the Training Unit will reveal ways that the unit can reduce and redirect their data collection efforts. Further, it should address ways that the TU can work more closely with SO/RP teams in analyzing and reporting data that better serve the information needs of the teams.

Table 8
Measuring Progress Toward Achievement of Strategic Objectives

	Strategically Plan and Implement Training →	Acquire Skills, Knowledge, and Attitudes →	Apply SKA/Achieve Training Activity Objective →	Contribute to the RP Objective →	Contribute to the Strategic Objective
Why is this being monitored?	To judge the performance of SO/RP teams, Training Unit, Training Contractors, Training Providers in ensuring relevant and quality training programs	To measure the increased capacity of trainees as a necessary precondition to improved performance in the workplace	To measure the improved performance of trainees as related to key institutional performance requirements	To measure progress toward improved inst'l performance as a key IR leading to SO	To measure progress toward the SO
What indicators will be used to measure it?	Generic: Degree of collaboration of all stakeholders in planning, including Action Planning, that links training to SOs. Degree of trainees' satisfaction with training. <i>Specific:</i> TBD by RP Team	<i>Generic:</i> Degree of change in SKA (pre/post). <i>Specific:</i> TBD by RP Team	<i>Generic:</i> % of trainees applying elements of training; % of Action Plans executed; % of trainees w/ increased responsibilities <i>Specific:</i> TBD by RP/SO Team	To be determined by RP Team	To be determined by SO Team
How will it be measured?	Self-assessment of collaboration through focus groups with stakeholders. Trainee satisfaction questionnaires.	Training Providers' assessments of Trainees. Exit interview/questionnaires administered to Trainees.	Trainee questionnaires administered. Interviews/focus groups with supervisors. On-site observations	To be determined by RP Team	To be determined by SO Team
When will it be measured?	Focus group: annually Questionnaire: upon completion of training program	Upon completion of training program	Within 6 months of completion of training	To be determined by RP Team	To be determined by SO Team
Who will be responsible?	Focus group: GTD contractor Questionnaire: Training Unit	Training Provider and Training Unit	TU in collaboration with RP Team	RP Team	SO Team

ANNEX A

STRATEGIC OBJECTIVES—EL SALVADOR

Strategic Objectives of the Assistance Program in El Salvador: Sustainable Democracy and Development

Strategic Objective 1: Expanded access and economic opportunity for El Salvador's rural poor

Intermediate Result #1: Better educated/trained rural residents

- Quality of basic education improved
 - Improved curricula and teaching methods adopted
 - Supportive education policies defined and implemented
- Increased community and non-GOES participation in basic education reform
 - Education service provision and decision-making at the local level
- Improved transfer of technical and management skills
 - Key personnel of private/public sector organizations with greater professional capacity

Intermediate Result #2: Improved use of land

Intermediate Result #3: Expanded equitable access to financial, technological, and marketing services by the rural poor

- Increased coverage of sustainable financial institutions in rural areas
 - Improved financial performance of microfinance institutions serving the rural poor
 - Increased capital mobilized for rural lending
 - Improved legal and regulatory environment promoting access to financial services by the poor
 - Secure rural savings mechanisms expanded
- Increased coverage of sustainable secondary organizations providing technology and marketing services
 - Increased affiliations of producers in primary organizations
 - Improved sustainability of primary level organizations through stable management
 - Increased value of products marketed by primary organizations

Intermediate Result #4: Better rural productive infrastructure

- Selected productive infrastructure in selected areas

Intermediate Result #5: Economic policy environment supporting greater equity

- Modernization of state leads to economic growth and better rural services
- GOES adopts and implements rural poverty strategy
 - GOES develops rural poverty strategy

**Strategic Objectives of the Assistance Program in El Salvador:
Sustainable Democracy and Development**

Strategic Objective 2: More inclusive and effective democratic processes

Intermediate Result #1: Improved opportunity for better informed electoral decisions

- Increased coverage of NGO civic education programs
- Civil society contributes to improved electoral processes
- Improved organization and systems of the S.E.T.

Intermediate Result #2: Increased access to enhanced legal/judicial protection

- Citizens have increased knowledge of their legal rights and how to defend them
- Access to Alternative Dispute Resolution (ADR) increased
- Court management systems improved
- Public defenders and prosecutors are more effective
- Continued legal reform (criminal codes, in particular)

Intermediate Result #3: Increased participation in strengthened local governments

- Financial and administrative systems improved
- Locally collected resources increased
- Local government investment increased
- Participation mechanisms created and strengthened
- Civil society organization trained in participation skills
- Local government association advocating effectively to national government

Intermediate Result #4: Improved and more transparent GOES management of financial resources

- Expanded audit function
- Expansion of integrated financial management
- Increased citizen awareness about standards for government transparency and accountability

Strategic Objective 3: Sustainable improvements in health of women and children achieved

Intermediate Result #1: Increased use of appropriate child survival practices and services

- Increased availability of integrated management of childhood illnesses (IMCI) at facility level
- Increased care-seeking behavior at household level
- Improved services by health promoters at community level
- Increased access to potable water and sanitation systems

Intermediate Result #2: Increased use of appropriate reproductive health practices and services

- Increased pre/post natal care
- Increased family planning services
- Increased public education on HIV/AIDS

Intermediate Result #3: Enhanced policy environment to support sustainability of child survival and reproductive health programs

**Strategic Objectives of the Assistance Program in El Salvador:
Sustainable Democracy and Development**

Strategic Objective 4 Increased use of environmentally sound technologies and practices in selected fragile areas

Intermediate Result #1: Increased awareness and understanding of the importance of environmental issues

- Enhanced mass media attention to environmental issues
- Improved coverage of environmental issues in educational institutions
- Enhanced GOES and NGO environmental education campaigns and activities
- Enhanced participation in environmental events/fora by policy-makers, decision-makers

Intermediate Result #2: Increased knowledge of environmentally sound technologies and practices

- Enhanced participation in environmental events/fora by policy-makers, decision-makers
- Appropriate HRM technologies and practices demonstrated in selected areas
- Improved management of selected protected areas and their buffer zones
- Technologies and practices of pollution prevention/control demonstrated

Special Strategic Objective: Assist El Salvador to make the transition from war to peace

Sub-Intermediate Result #1: Factors of production reactivated to respond to economic opportunities

- Men and women trained under NRP
- Men and women receiving credit
- Men and women with increased income after receiving both training and credit
- Land bank clients (men and women) with land in production

Sub-Intermediate Result #2: Access to basic social services and infrastructure reestablished

- NRP population served by MEA infrastructure projects
- Roads improved which required rehabilitation in the NRP
- Health facilities assisted and functioning

Sub-Intermediate Result #3: Local level democratic institutions built and civic participation increased

- Open town meetings held
- Cantons participating in MEA program town meetings
- Registered voters
- NGOs participating in reconstruction activities

Sub-Intermediate Result #4: Ex-combatants reintegrated

- Ex-combatants (men and women) receiving vocational or academic training
- Ex-combatants (men and women) receiving rehabilitation services
- Ex-combatants (men and women) receiving credit
- Ex-combatants and others (men and women) receiving land

Source: USAID/El Salvador, 10/14/96

ANNEX B

SUMMARY OF CURRENT AND FUTURE TRAINING NEEDS BY STRATEGIC OBJECTIVE¹

Strategic Objective 1: Expanded access and economic opportunity for El Salvador's rural poor		
Results Package	Activity	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR1: Better educated/ trained rural residents	<ul style="list-style-type: none"> a. Central and Latin America Scholarship Program (CLASP) b. Social Sector Reform (SSR) c. SABE 	<ul style="list-style-type: none"> a. Development Associates (IC) provides all services for U.S. based training for CLASP scholars. b. The IC, Fundación Empresarial Para El Desarrollo Educativo (FEPADE), provides the project's training for rural beneficiaries. c. The IC, Academy for Educational Development (AED), is providing the technical assistance and training for Ministry personnel, school administrators, teachers, and parents.
Training support services needed to achieve high impact training	<ul style="list-style-type: none"> a. No training needs anticipated. Although the PACD for the CLASP Project is July, 1997, the training under CLASP/El Salvador has concluded and the IC will complete its work in Dec 1996. b. FEPADE has the institutional capacity to do its own training for the activity. There was interest in the leadership and empowerment training. c. SABE is using CLASP trainees as their core trainers and recognizes the importance of the leadership/empowerment and follow-on components. May include support of these components for in-country training. No further U.S. training is anticipated for the remaining three years of the project. 	
IR 2: Improved use of land	World Bank	Not applicable

¹Two sources of data are reflected in the "training support services needed to achieve high impact training: information from qualitative interviews and responses to the demand survey.

Strategic Objective 1: Expanded access and economic opportunity for El Salvador's rural poor		
Results Package	Activity	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR 3: Expanded equitable access to financial, technological and marketing services by the rural poor	<ul style="list-style-type: none"> a. Micro enterprise Development Project b. Rural Equitable Economic Growth c. Small Enterprise Support d. Micro enterprise 2000 e. Micro enterprise Innovation Project f. Coffee Technology Transfer Project 	<ul style="list-style-type: none"> a. The Centro de Apoyo a la Microempresa (CAM) is teaching their Community Bank methodology to the beneficiaries (village bankers, solidarity groups, and micro-entrepreneurs), based on the Salvadoran context. Training includes business/credit education and human development components. b. Chemonics (IC) & sub-contractors assess needs and train credit union/cooperative members, using WOCCU and NCBA methods. Some third country training, but no U.S. training is anticipated. c. Fundación para el Desarrollo Economico y Social (FUSADES), is the IC and has provided the training. d. The IC, Catholic Relief Services (CRS), has a full-time training specialist who works with the technical specialists to design training programs using non-formal adult education methodology. e. CRS coordinates 6 groups in Micro enterprise field; activity has little training. f. Fundación Procafe, the IC, provides the majority of training. Some U.S. training provided by activity.
Training support services needed to achieve high impact training	<ul style="list-style-type: none"> a. CAM considers their training needs in credit/business and human development adequately covered by their own training. The greatest training need is to teach clients a technical skill (ie carpentry, bakery, etc.). b. Chemonics/Creceer staff does not have a full-time training specialist. They are interested in and have funding to hire a training specialist on a short-term basis to organize in-country training (fora, management courses, skill training for business owners). This will be based on micro and small entrepreneurs' needs that are identified through implementation of the CRECER project. They are interested in USAID serving as a clearinghouse for local facilitators and courses. c. No training needed as the activity is scheduled to end in Dec 1996. d. CRS interested in USAID coordinating dialogue with NGOs on training. Their full-time training specialist designs and implements CRS programs. e. The new activity has not been identified, although in-country training is expected to be a major component. At this stage in the planning, it is too early to tell how much money will be spent on training. In previous activity, did not use CAPS/CLASP projects for training. 	
IR 4: Better rural productive infrastructure	PL 480	Not applicable

Strategic Objective 1: Expanded access and economic opportunity for El Salvador's rural poor		
Results Package	Activity	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR 5: Economic policy environment supporting greater equity	Modernization of the State	This project has no institutional contractor. Training for 13 GOES ministries is coordinated by a unit in the Ministry of Coordination who works directly with USAID. Semi-annual training requests are submitted for GOES/USAID approval. In-country training provided by companies selected by competitive bidding. Follow up oversight of action plans done by training unit.
Training support services needed to achieve high impact training	Several training needs were identified. Assistance with strategic planning of training, conducting a needs assessment, design of training for high-impact, including methodologies of adult learning. Thirteen coordinators and their staffs within the Ministries need training in the reengineered training standards. Asociación Salvadoreña de Capacitadores Públicas (ASCAP) possible multiplier agents for philosophy of reengineered training. RP could be willing to pay for services if case were made that supplemental training is cost-effective and contributes to the IR. The RP responses to the demand survey, in general, indicated little interest in the services. Some interest was expressed in the planning for the strategic use of training, and in follow-on and monitoring and evaluation for the implementation of programs. Some interest was expressed in the information/dissemination services.	

Strategic Objective 2: More Inclusive and Effective Democratic Processes		
Results Package	Project / Contractor / Principal Counterparts	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR 1: Improved opportunity for better informed electoral decisions	Election Project	Former IC provided training. Current IC, International Foundation for Electoral Support (IFES) developed a training plan with the Supreme Electoral Tribunal (TSE). Highly technical training provided by IFES' advisors.
Training support services needed to achieve high impact training	The project is in transition, as IFES assumes responsibility for functions previously handled by 2 ICs (electoral issues and voter civic education). IFES is reviewing the results of 4-5 outside evaluations and audits, which will reveal the institutional needs for training as well as other TA. No training has been done yet by IFES, although they may be interested in CLASP-like leadership training. The results from the demand survey, which represent the input from all team members, including the IC indicated no interest in services to plan for the strategic use of training. The team is interested in assistance in training program design, a trainer database, and the information/dissemination services. They are interested in and can pay for a variety of cross-cutting courses for the TSE. Several courses on strategies for reengineering and all but two (self-esteem and gender sensitivity) of the empowerment courses were of interest.	
IR 2: Increased access to enhanced legal/judicial protection	Judicial Reform II a. NGO component b. Strengthening of Judicial Institutions	<ul style="list-style-type: none"> a. Checchi (IC) provided trained NGOs trainers to disseminate information about legal reform in family and juvenile codes. b. Checchi's (IC) using an institutional development model. Full-time training specialist developed profile of jobs and training plan to decrease skill deficits. Training delivered by technical advisors, some short-term trainers and the Escuela Nacional Judicial. c. Unidad Tecnica Ejecutiva (UTE), of the judicial sector, is the institution responsible for the coordination and implementation of all projects that support the judicial sector funded by the donor community.
Training support services needed to achieve high impact training	<ul style="list-style-type: none"> a. Checchi is interested in services in training design and methods, monitoring and evaluation of impact, strategic planning and leadership/empowerment to support NGO programs. b. Checchi would use USAID services to process trainees for U.S. and third country training, if services were free. Responses from the USAID/RP team and the IC to the demand survey indicate some interest in the topic "strategic use of training" and in services to assist in training implementation. The RP team would use the information/dissemination services, but expressed little interest in the cross-cutting training courses. Leadership/empowerment courses were of interest and the team has the ability to pay some of the costs of a team-building course. 	

Strategic Objective 2: More Inclusive and Effective Democratic Processes		
Results Package	Project / Contractor / Principal Counterparts	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR 3: Increased participation in strengthened local governments	Local Government	The IC, Research Triangle Institute (RTI), provides training to local counterparts, Instituto Salvadoreña de Desarrollo Municipal (ISDEM) and Corporación de Municipalidades de la República de El Salvador (COMUDES). In last 3 elections, sent 130 of 200 mayors for training under CLASP program, to give them a vision of what could be done. After each election, SO/RP team believes similar program should be designed for newly elected mayors. Consider using third countries (Argentina, Columbia, Chile) which are struggling with decentralization and local governance issues, but keep the leadership training.
Training support services needed to achieve high impact training	RTI would use in-country training on cross cutting issues (leadership, financial and administrative systems), strategic planning, help in developing training plans, and monitoring and evaluation. The greatest need is for TOT, especially for identifying a core group of facilitators with skills and training them to a new professional level. Cross-cutting issues were of interest. Both RTI and the RP team want leadership courses. The RP team would pay part of the costs for strategic planning and implementation activities. The information/dissemination services were of interest, but they have no ability to pay for them.	
IR 4: Improved and more transparent GOES management of financial resources	Integrated Finance	
Training support services needed to achieve high impact training	SO/RP team expressed high degree of interest in leadership training for financial and administrative GOES personnel receiving USAID training. Noted that financial and administrative systems as well as human resource base are in need of strengthening. Training in leadership and conflict resolution could lead to a "paradigm shift in attitudes" and help overcome the distrust both among the local government employees and officials, and between the citizens and the local government. Also consider training in the areas of customer service, advocacy skills, and different models of democracy for personnel implementing the new financial systems. Consider doing training using weekend retreat format, in-country, by regions or geographic areas to avoid time lost from work.	

Strategic Objective 3: Sustainable Improvements in Health of Women and Children Achieved		
Results Package	Project / Contractor / Principal Counterparts	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
IR 1: Increased use of appropriate child survival practices and services	<ul style="list-style-type: none"> a. Maternal Health and Child Survival (PROSAMI) b. Displaced Street Children's Project (PROCIPOTES) c. APSISA 	<ul style="list-style-type: none"> a. Medical Services Corporation (MCI) b. There is currently no long-term institutional contractor.
IR 2: Increased use of appropriate reproductive health practices and services	Family Health Services	Salvadoran Demographic Association
IR 3: Increased policy environment to support sustainability of child survival and reproductive health programs	<ul style="list-style-type: none"> a. Public Services Improvement Project b. Peace and National Recovery c. War-Wounded Rehabilitation 	<ul style="list-style-type: none"> a. Project Concern International (PCI) b. PCI and CARE c. World Rehabilitation Fund
Training support services needed to achieve high impact training	<p>SO team is awaiting the statement of reengineering priorities from the Ministry of Health. They would prefer in country training, but indicated a need for a quick mechanism to process unplanned training opportunities. Team does not anticipate needing help with technical aspects of training given their access to Global Bureau buy-ins which provide excellent technical training. Will use a series of buy-ins to make up for lack of a long-term contractor. Need some support services. Agree that leadership programs add value, but are not able to pay for this supplemental training. No survey responses returned to date.</p>	

Strategic Objective 4: Increased Use of Environmentally sound Practices in Selected Fragile Areas		
Results Package	Project / Contractor / Principal Counterparts	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
<p>IR 1: Increased awareness of the importance of environmental issues</p> <p>IR 2: Increased knowledge of environmentally sound technologies and practices</p>	<p>Environmental Protection (385)</p>	<p>a. Environmental Education: ABT, the IC, has a full-time training specialist who assesses training needs and designs the training.</p> <p>b. NGO Training: The Pan American Development Foundation (FUPAD) provides training to the NGOs.</p> <p>c. Policy Program: ABT</p> <p>d. Demonstration Areas: ABT and Winrock</p>
<p>Training support services needed to achieve high impact training</p>	<p>a. RP team expressed a need for administrative/processing services. Some concern emerged about potential competition between the Global Center for the Environment's desire to offer training mechanisms and the Mission's proposed new activity. Some duplication of service may exist.</p> <p>b. No interest was expressed in the demand survey by the RP team for the services, as the institutional contractor is responsible for all of them.</p>	

Special Strategic Objective (SSO): Assist El Salvador to Make the Transition from War to Peace		
Results Package	Project / Contractor / Principal Counterparts	Current Training Mechanism: Institutional Contractor (IC), Central Support Mechanism (CSM) or Other
<p>IR 1.1 Factors of production reactivated to respond to economic opportunities</p> <p>IR 1.2 Access to basic social services and infrastructure reestablished</p> <p>IR 1.3 Local level democratic institutions built and civic participation increased</p> <p>IR 1.4 Ex-combatants reintegrated</p>	<p>Project 0394</p>	<p>In a short period of time, an immense amount of training has been provided to the ex-combatants and 'tenedores' in compliance with the Peace Accord.</p> <p>According to the evaluation for this component under 0394, the design of training for future SSO activities carried out under other SO's should be carried out with more time and a greater knowledge of trainees' needs and desires. A more realistic assessment of skills demanded by the economy was also recommended by the evaluation.</p> <p>Special attention should be given to the IR in SO 1 dealing with "improved use of land." At this point it appears certain that the World Bank is not going to support activities related specifically to "parcelization." Training is needed to help achieve this goal of improving land use.</p>

ANNEX C

INTEGRATED SERVICES PACKAGE— GTD CONTRACT

Section C

C.5. (Continued)

(A) **CLIN 0001 - INTEGRATED SERVICES PACKAGE**

These services will include the in-country core services of 1) defining human resource constraints to meeting development goals, 2) developing training strategies to alleviating those constraints, 3) developing specific training plans, 3) implementing recruitment, selection, orientation, and preparation processes, 4) facilitating follow-on activities and 5) monitoring performance. Services may be provided by U.S. staff based in-country, by in-country resident staff, by local institutions contracted for such services, by periodic country visits, or other arrangements (or combinations of the above) as necessary and appropriate given the mission portfolio and interests. U.S. services include all monitoring and support activities, program enhancement and management.

Below is a list (not exhaustive) of elements that contribute to training for development and that contractors must take into account in fulfilling mission DOs.

Element 1: Training Plan Development

- 1a. The contractor will assist missions in developing their training strategy, including needs assessments, if necessary, and in formulating and/or finalizing their training plans. Country training strategies need to 1) identify human resources constraints to development, 2) assess whether institutional environments are receptive to change, 3) define, at least at the macro level, the anticipated development outcomes from training activities and 4) develop a country training plan.
- 1b. During the development of the country training strategy importance should be given to the most appropriate location of the training. For example, the assessment will need to ascertain whether local institutions have the capability to develop the necessary human resources, whether third country institutions offer particular advantages for training, and whether U.S. participant training is

Section C

C.5. (Continued)

required to alleviate the human resources constraints to development. The issues of critical mass requirements and training of trainers also need to be addressed in the assessment stage to ensure that all expenditures related to training are put to the best possible use.

Element 2: Recruitment and Selection

- 2a. Identify types of participants and qualifications necessary to achieve training strategy goals in consultation with USAID officials.
- 2b. Establish selection criteria, procedures, and organize selection committee (if desired by the mission).
- 2c. In concert with USAID, identify and work with key institutions (such as government ministries or other organizations that would benefit from human capacity development and training) and potential contacts in target areas to facilitate appropriate recruitment and selection.
- 2d. Develop and implement recruitment strategy to meet USAID mission program requirements. Screen candidates and present finalists to selection committee.
- 2e. Maintain complete documentation of recruitment and selection process.

Element 3: Training Program Development

- 3a. Design individual or group training program in consultation with the participant, the sponsoring organization and other stakeholders. In concert with the participant and other stakeholders, develop specific training objectives and expected activities after return that take into account the strategic objectives of the mission. The result will be a Training Agreement that clearly establishes the training objectives and the expectations and responsibilities of all involved parties.
- 3b. In concert with stakeholders, develop indicators that will track performance and potential impact.
- 3c. Identify requirements for cultural immersion/homestays, internships, on-the-job training, observation tours, and other supplemental activities to include in training request. Supplemental activities should be integrated into the professional training program and should be tied to training objectives.

Section C

C.5. (Continued)

- 3d. Prepare detailed training request and transmit to the U.S. programming organization adequately in advance of anticipated training date. Technical programs will be initiated at least 3 months in advance, and academic programs will be initiated at least 6 months in advance.
- 3e. Review recommended program with participant, revise program, if necessary, and return to U.S. programming organization (or home office if U.S. services are part of the same DO).

Element 4: Pre-Program Preparations

- 4a. Arrange for administration of, and follow up on approved standardized test of English language proficiency (ALIGU, CEPA, TOEFL) and other pre-program testing requirements (GRE, SAT, GMAT, etc.)
- 4b. Provide scores to USAID and include in participant files.
- 4c. Arrange for interpreter or escort services for individuals/groups not meeting the language requirements, when requested.
- 4d. Medical testing and clearance. Provide participant with approved medical examination forms, ensure that the forms are correctly completed, maintain appropriate records, and provide forms to USAID as required.
- 4e. Visa arrangements. Complete the IAP-66A form for signature by designated USAID representative. Assist participant to complete visa application to the U.S. Consul if necessary.
- 4f. Travel and Housing Arrangements. Provide for all travel arrangements to the U.S. or elsewhere (round trip) and transit visas if required. Arrange for appropriate housing according to mission specifications as requested, which may include homestays for purposes of cost containment or cultural immersion.
- 4g. Maintenance Advance. Arrange for participants to receive required funds prior to leaving the home country.
- 4h. Complete required data forms. Complete Participant Data Form and other required documentation (Conditions of Training, power of attorney, etc.) and send to appropriate USAID office. Forms: see Ch 253, SR, Sec. 3 Appendix.
- 4i. Assist participants with Federal, state and local tax forms and assure that filings take place as appropriate.

Section C

C.5. (Continued)

Element 5: Pre-departure Orientation

- 5a. Arrange and conduct briefings and orientation for all participants. Minimum orientation will include:
- Two-year residency requirement in home country after return before eligibility for permanent residence in the U.S.
 - Full information about the content, instructional approach, logistics, and schedule of the training program.
 - Detailed travel and transportation information to cover all aspects of international and domestic travel.
 - Information about the training location.
 - Detailed explanation of training program finances, expenses; what the participant will receive, when, and what it must cover; what expenses will, and will not, be reimbursed by the program.
 - Participant responsibilities. Discussion of laws, regulations, and procedures that will affect the participant.
 - Detailed information on handling emergencies while in the U.S. Medical coverage, contact numbers, legal problems, etc.
 - Basic information about cultural expectations and differences in the U.S..
 - Familiarization with mission strategic objectives and how the training and individuals will contribute to meeting objectives.

Element 6: Placement and Monitoring

- 6a. Identify appropriate and cost-effective training opportunities. Training opportunities may include scheduled academic programs, existing technical training programs, or specially tailored training, observational/study tours, internships, interviews with U.S. private sector representatives, on-the-job training and entrepreneurial training (referred to in the current central training contract as Entrepreneurs International). If no training provider is identified by the USAID mission, this will require conducting a solicitation for services. The contractor will identify several options

Section C

C.5. (Continued)

- for each training activity and recommend the most cost effective alternative. When training is to take place in country, technical assistance may be needed to strengthen the institutional base to support the country.
- 6b. Prepare a training implementation plan (TIP) that describes in detail the proposed training and enhancement activities and the suggested schedule. (Once accepted, this plan could then be part of the Training Agreement.) Optional activities not specifically requested by the USAID mission must be identified as such and cost information provided. The TIP must be approved in writing by the USAID mission.
- 6c. Make all administrative arrangements for participant programs, including:
- Negotiate cost savings with training provider.
 - Arrange for placement (applications, fee payment, course selection, etc).
 - Arrange for all travel and logistical support, including appropriate housing. When requested by mission or bureau, arrange for participant homestays near the training site as an alternative to institutional housing solutions. Inform mission and participant of travel arrangements and dates.
 - Enroll all participants in the required health and accident coverage (HAC) program and adjust as needed for program changes.
 - When requested by mission or bureau, arrange for participant homestays in the community near the training site as an alternative to institutional housing solutions;
 - Transmit required participant data to USAID.
 - Have participants met upon arrival in the U.S. or the third country.
 - Provide timely payment of all allowances and expenses according to ADS Ch. 253 requirements, ensuring that payments are made for legitimate program purposes; generate Statement of Earnings for tax filing on behalf of participants.
- 6d. Monitor and Report on Participant Progress.
- Maintain (and document) regular contact with participants to identify and resolve problems. Long term participants should be contacted a minimum of four times each year. Procedures

Section C

C.5. (Continued)

- should be developed for short-term participants to track activities, attendance, performance, problems, and successful completion of program.
 - Advise mission on participant progress on a quarterly basis.
 - Notify the mission on completion of training program and the date of the participant's return to the home country.
 - Inform participants of tax liability, if any, using G/HCD guidance and assure that participants complete and file forms as required.
 - Arrange, secure approval for, and document extensions and transfers.
- 6e. Provide cultural and logistics orientation to all participants. Minimum orientation includes:
- Review of the Training Agreement prepared in country, including review of training program, training objective, relationship to USAID strategic objectives, and responsibilities of various stakeholders.
 - Review program schedule, transportation and logistics.
 - Review of all USAID and Immigration and Naturalization Service (U.S. INS) rules affecting participants, particularly the 2-year return residency requirement before eligibility for permanent residency in the U.S.
 - Detailed information about daily activities (housing, shopping, food preparation, check cashing, transportation, correspondence, and communication).
 - Orientation to the city, and the training site (geography, attractions, etc).
- 6f. Establish evaluation criteria and mechanisms to allow for periodic review of U.S. and third country training programs.
- 6g. Provide all participants with approved training evaluation forms and complement written forms with periodic interviews. Collect evaluations, analyze and report data.
- 6h. Maintain evaluations, transmit to missions and have available on file for review by BELS.

Section C

C.5. (Continued)

- 6i. Develop evaluation instruments for use with training institutions, trainers, mission staff and other stakeholders involved in the design and implementation of each training activity so that problems and successful interventions can be identified.
- 6j. Utilize evaluation data on a systematic basis to identify problems and improve programs.
- 6k. Cooperate and coordinate evaluation efforts with other evaluation activities sponsored by the missions, Bureaus, or BELS. The nature of the coordination of evaluation activities will be negotiated on a case by case basis to ensure adequate evaluation coverage without duplication of effort.

Element 7: Enhancement Activities

Supplement technical aspects of training with "enhancement" activities such as cross cultural orientation, cultural immersion activities, community service activities, linkage with an appropriate mentor, participation in management, leadership and/or development workshops or seminars.

Element 8: Management

- 8a. Maintain complete records:
 - Relating to participants, including selection criteria, biodata, record of medical certification, English language test scores, visa status, waivers, travel arrangements, advances to participants, as well as attendance at pre-departure sessions, Training Agreements, etc.
 - On competition and selection of training providers, negotiations, and cost savings achieved.
 - Containing financial data with standard Training Costs Analysis elements on each participant program and for overall program.
 - Maintain individual participant files using a consistent and standardized format and retain files at least twelve months after departure from the United States or third country or after the last bill for training is paid (including federal and states taxes). Transfer files to USAID for - retirement.

Section C

C.5. (Continued)

- 8b. Maintain database related to participants that meets all USAID data requirements, including biographical data, program data, cost data, process data (visa, language, medical, financial, travel,) and participant training months accrued each quarter. Data elements required by USAID must be transmitted electronically.
- 8c. Provide all required performance and financial reports to USAID.
- 8d. Maintain records about training providers used, including nature of training, cost reduction and cost sharing, frequency of training, contact person, etc. Transmit required data elements to USAID training provider clearinghouse.

Element 9: Re-entry

Provide the necessary support for individuals or groups to re-enter their jobs and communities. Such activities might include re-entry interviews with the host institution to review the Training Agreement, introduction to community groups involved in development activities and, introduction to others who have had similar experiences.

Element 10: Follow-on

- 10a. Analyze the follow-on requirements of each participant and/or participant group to identify opportunities to increase the impact and improve the sustainability of the training. Provide the results of this analysis to USAID on a regular basis. (More extensive follow-on services can be customized for missions and provided under the technical assistance component of this award, see below.)
- 10b. Maintain current and accurate records on participants' home addresses and current employment after training through the length of the contract.

All of the services described above may be provided as separate elements. It is anticipated that provision of an integrated package would result in considerable cost savings that would be reflected in the negotiated price for a delivery order.

Section C

C.5. (Continued)

Supplemental activities

Supplemental program support activities can be requested by missions as needed. Such activities will be separately programmed and budgeted, and might include:

Expanded Pre-Departure Orientation

Depending on the needs and interests of the participants, the mission may wish to provide orientation in greater detail than is included in the standard briefings. Such orientation may include in-depth presentations on: adapting to U.S. culture and society, developing leadership skills, family life, social life; orientation to U.S. political system; adapting to modern urban life (for rural participants); and orientation to U.S. history, and/or history of the training area. Mission technical officers may also want in-depth orientations on appropriate technical areas, on other donor or country activities in the same field, etc.

In- country Pre-Program Academic and Language Preparation

Assess, select, or develop preparatory courses for participants. The specific courses may include remedial training, English Language Training, computer skills, GRE/GMAT preparation, or others as required. Alternatively, opportunities for immersion in related in country development activities or other areas related to the strategic objective may be organized. Missions may also wish to develop extensive English as a second Language (ESL) programs that integrate language skills with leadership and other skills as well as training program planning and development.

Expanded Follow-on Programs

Missions may require assistance in developing associations of returned participants, developing a small grants program to returnees for pilot projects related to development, implementing continuing education programs, and developing/maintaining professional and institutional linkages with the U.S.

C.5. (Continued)

(B) CLIN 0002 - TECHNICAL ASSISTANCE SERVICES

In addition to the packages of integrated and supplemental services described above, contractors may be requested to provide additional training related services to missions, Bureaus and/or G/HCD. Services may involve expanded, tailored versions of the core set of services described above or additional services for pre-training, in-training or post-training support, and could include strengthening local training institutions/programs or developing new educational models for groups of trainees. These services will be authorized in the delivery orders defining the specific services required, the budget for these services, the source of funding, delivery schedule, and deliverables.

Examples of technical assistance activities:

- Provide planning and strategy development services for USAID missions.
 - Conduct training needs assessments so that all individual and group training support strategic objectives on a sector, organizational, or individual basis.
 - Assist USAID officials to develop overall strategy for using participant training
 - Assist USAID officials to develop training plans in support of strategic objectives
 - Design training programs/project
 - Develop impact indicators for training programs
 - Design evaluation system for training programs
- Prepare of a directory of services that G/HCD provides and other program information.
- Develop an orientation package, brochure, pamphlet, or video for new mission training officers.
- Provide specialized support for HBCU or WID enhancement projects.
- Conduct special follow-up studies of post return components of training action plans.
- Publish of a monthly or quarterly International Training Newsletter with input from and distribution to mission training officers and other training program personnel.
- Conduct special evaluation studies and reports to determine which missions consistently have the most successful training outcomes (high program completion rates, high grade point averages, low non-returnee rates, and so forth) and the characteristics (pre-departure orientation, community service

Section C

C.5. (Continued)

and cultural activities, transition activities, follow-up, and so forth) that make these missions successful.

- Develop standardized pre-departure or U.S. arrival orientation programs, videos, or other materials.
- Develop, coordinate, or present workshops or conferences for mission staff or other training-related groups at different levels.
- Identify and evaluate third-country training programs or facilities within the various regions.
- Provide training evaluation services to missions, Bureaus or G/HCD to assess individual training activities, training projects, training components of technical projects or whole training portfolios -- in order to improve program implementation and enhance development impact.
- Provide periodic reports to the HCD Weekly Reports for dissemination to missions and USAID offices.

Reports and other deliverables associated with ad hoc technical services, as well as their performance criteria, will be spelled out in individual DOs. Technical assistance requests may be included with requests for the in country package of services and/or the U.S. package of core services.

[End of Clause]

[END OF SECTION C]

ANNEX D

November 4, 1996

Dear Colleagues,

Thank you for taking time to meet with the HERNS Team. Your contributions are useful in helping us understand the types of activities that could be designed to support the work of the Results Packages Teams.

Attached is a list of ideas developed from the meetings and conversations thus far. It is divided into two main areas:

- services to support Result Packages in implementing cost-effective training (provided to USAID activity staff, contractors, and/or NGOs responsible for implementing training); and
- training on cross-cutting topics that increase the impact of technical training (provided to intermediate and ultimate customers).

We would appreciate your assessment of the demand for these support activities in your work. Please check your degree of interest in the activity: interest and ability of your SO/RP to pay the entire cost; interest and ability to pay a portion of the cost; interest, but no ability to pay; no interest. Also, please indicate the mechanism *you* would prefer to use for the delivery of the service: your institutional contractor/NGO; central buy-in from your sector; a training contractor, either local or Global Training for Development (GTD); or the USAID/El Salvador Training Unit.

Please complete the form and return to the HERNS Team, c/o Jaleh de Torres, in the enclosed envelope by Wednesday, November 6.

We appreciate your assistance.

Sincerely,

Melanie Sanders-Smith

Janet Kerley

DEMAND SURVEY FOR NEW HCD ACTIVITY

	Interest and ability to pay entire cost	Interest and ability to pay portion of cost	Interest but no ability to pay	No interest in the service	Preferred Mechanism			
					Inst Cntr/ NGO	Cntrl Buy-in	Trng Cntr*	AID Trng Unit
I. SERVICES TO SUPPORT RESULTS PACKAGES IN MANAGING COST-EFFECTIVE TRAINING								
A. Planning for the Strategic Use of Training								
Training strategy (planning for impact, linking training to IR)								
Performance analysis (assessing human capacity constraints, skill deficits)								
Training plans (LOP, annual)								
Training budgets (annual, program)								
Other:								
Other:								
B. Implementing Training Activities								
Training program design								
Trainee selection								
Training agreement/action plans								
Guidance on writing SOWs for training providers								
Training provider selection								
Training placements (U.S., third country, in-country)								
Pre-program prep (medical testing, visas, advances, travel)								
Pre-departure orientation								

	Interest and ability to pay entire cost	Interest and ability to pay portion of cost	Interest but no ability to pay	No interest in the service	Preferred Mechanism			
					Inst Cntr/ NGO	Cntrl Buy-in	Trng Cntr*	AID Trng Unit
English training								
Trainee database								
Follow-on support								
Performance monitoring								
Training evaluation								
Other:								
Other:								
C. Information Dissemination/Coordination								
Explain USAID reengineering strategy								
Coordinate training needs among contractors/NGOs								
Disseminate info on USAID training policy/procedures								
Other:								
Other:								
II. TRAINING ON CROSS-CUTTING TOPICS FOR INTERMEDIATE AND ULTIMATE CUSTOMERS								
A. Management Courses								
Business management								
Financial management								
Total quality mngt								
Customer service								
Other:								
Other:								
B. Strategies for Re-engineering								
Strategic planning								
Managing for results								
Project design/mngt								

	Interest and ability to pay entire cost	Interest and ability to pay portion of cost	Interest but no ability to pay	No interest in the service	Preferred Mechanism			
					Inst Cntr/ NGO	Cntrl Buy-in	Trng Cntr*	AID Trng Unit
Monitoring & evaluation								
Sustainability approaches								
Marketing								
Globalization								
Modernization of public sector								
Privatization								
Decentralization of services								
Policy development								
Advocacy/lobbying								
Civic education approaches								
Other:								
Other:								
C. Empowerment Skills								
Interpersonal communication								
Negotiation								
Self-esteem								
Leadership								
Team building								
Gender sensitivity								
Train-the-trainer								
Computer training								
Other:								
Other:								

*Training Unit may contract with either a local organization or with a Global Training for Development (GTD) firm. GTD is an IQC with five U.S. contractors providing training/training support services.

Other ideas or comments:

SO Team: _____

RP Team _____

Name (optional): _____

ANNEX E

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ANNEX F

LIST OF PERSONS INTERVIEWED

USAID/EI Salvador

Strategic Objective 1

Mary Ott SO 1 Team Leader

Results Package 1

Michael Cavallaro	Team Member
Yamilet Duran	Team Member
Roberto Gavidia	Team Leader
Stephen Grant	Team Member
Dorita de Guitierrez	Team Member
William Harwood	Team Member
Claudia de Jiménez	Team Member
Myriam de Oriani	Team Member
Jaleh de Torres	Team Member

Results Package 2

none

Results Package 3 & 4

Roxana Blanco	Team Member
Rafael Cuellar	Team Member
Sandra Duarte	RP3-4 Team Leader

Results Package 5

Francisco Molina	RP5 Team Leader
Ligia Luna	Team Member
Nolvia Saca	Team Member

Strategic Objective 2

Results Package 1

Elena de Albanes	Team Member
Sonia Silva de Cáceres	Team Leader
Jose Carballo	Team Member
Ingrid de Lacayo	Team Member
Norma de Mata	Team Member
Ena de Palacios	Team Member

Results Package 2

Mauricio Herrera
Jaleh de Torres

Results Package 2 Team Leader
Team Member

Results Package 3

Dorita de Guitierrez
Tom Hawk
Parviz Shahidinejad

Team member
Team Member
Team Member

Results Package 4

Strategic Objective 3

Jack Dale
Brenda Doe
Margarita de Lobo
Ileana de Párraga
Meri Sinnitt
Martin Schulz
Raul Toledo

Results Package Team Leader
SO Health Team Leader
Team Member
Team Member
Team Member
Team Member
MCH Team Leader

Strategic Objective 4

Results Package 1 & 2

Rodolfo Cristales
Roberto Gavidia
Yamilet Duran

Team Member
Team Member
Team Member

Special Strategic Objective

none

Contracts Office

Marielos de Quiñónez

Contracting Assistant

Controller Office

Carlos Milla
Jorge Garcia

Financial Analyst
Accounting Technician

Strategic Objective Office

Peter Kranstover
Charles North
Michael Radmann
Annie de Valencia

SDO Director
SDO Deputy Director
SO1 Backstop
SO1 Education Backstop

Contractors

ABT

Archer Heinzen Training Advisor

Academy for Educational Development

Ned Benner Chief of Party, Basic Education Project

Catholic Relief Services

Walter Blake Director
Luis Perdomo Vidal Trainer, Community Banking Program

Centro de Apoyo a la Microempresa (CAM)

Hilda Menjivar FINCA's Resident Advisor
Ingrid de Segovia CAM Executive Director

Checchi

Katherine Mueller Training Advisor
Mark Williams Chief of Party

Crecer

Rick Clark Chief of Party
Denise de Orellana Administrator

Development Associates

Eliseo Carrasco Chief of Party, CLASP II Project

IFES

Déborá L. Gish Director, Democracy Electional Process Project

Research Triangle Institute

Allan Austin Chief of Party
Dwight Bunce Technical Advisor

Counterpart Institutions

Ministry of Coordination

Marlene Palacios Head, Training Department and Technical Assistance

Ministry of Health

Patricia Portillo de Reyes Oficina APSISA

Ministry of Justice

Technical Executive Unit

(Unidad Tecnica Ejecutiva)

Silvia Lizette Kuri de Mendoza Director of Communications

El Salvador Training Institutions

Association of Salvadoran Trainers (ASCAP)

Helen de Flores Treasurer

Fidelia Herrea Torres Vice-President

Yolanda Gabriela de Zarate President

CONSADE

Jose Angel Villeda Director

FEPADE

Antonieta de Harwood Coordinator of Training Department

Mauricio Moncada Trainer

INVERCAD

Maria Elena de Castellanos Deputy Director

Antonio Guzman Director

Universidad Francisco Gavidia

Teresa de Mendoza General Secretary

Mario Antonio Ruiz Rector

ANNEX G

A description of the Statement of Work follows.

ARTICLE I - STATEMENT OF WORK

A. TITLE

El Salvador Human Capacity Development Results Package

B. BACKGROUND
(Annex I)

C. OBJECTIVE

The objective of this Delivery Order is to provide USAID El Salvador with technical expertise to complete the following:

Activity - a) Design a Human Capacity Development Results Activity based on CLASP Project lessons learned. As part of this task, and in coordination with the Education Results Package (SO1, RP1) the contractor shall interview the Results Package Teams to analyze the human capacity development (hcd) requirements to support program outcomes and intermediate results of the Mission's strategic objectives. The design will include the principal training requirements already identified by the Results Packages for the duration of the Mission Strategy with a high level of flexibility to allow for changes and incorporation of new training needs as a result of the new Activity designs underway in the Mission. The contractor shall approach this activity from a missionwide perspective and shall highlight areas that are generic to two or more strategic objectives; b) Conceptualize an efficient working mechanism/structure in the Training Unit in light of the USAID Reengineering process, so that training for programming becomes fully supportive and responsive to the Mission's Strategic Objectives, c) Devise a way to represent the training effort in the Strategic Objective No. 1 Results Framework (RF), d) Review the training related indicators of all SOs/Results Packages to see if they are impact-oriented and make recommendations to improve them if applicable, and e) Submit a list of issues wherever applicable.

D. STATEMENT OF WORK

The contractor shall complete all of the following sub-activities in fulfilling the objective of this delivery order. Prior to arrival in country, the contractor shall confer with USAID El Salvador's Chief of Education & Training (or designee) for arrangement of meeting schedules, agendas, and advance information requirements. The results of this preliminary action shall be incorporated in the contractor's Work Plan.

A. Work Plan Development - Through coordination with USAID El Salvador, and prior to arriving in El Salvador, the contractor staff/consultant will develop a Work Plan for the overall delivery order which specifies how, when, where, and by whom each task set forth in this delivery order will be accomplished.

In preparation for this Activity, the consultants will spend a total of four days in Washington (two days for each Program Development Specialists) acquiring relevant background information, reviewing and gaining a working knowledge of the Mission's Strategic Framework & Objectives, and meeting and collaborating with relevant AID/W offices including, among others, G/HCD and LAC/DR.

B. Activity

Provide technical assistance in designing a Human Capacity Development Results Activity that serves cross cutting performance improvement (including training needs) to support attainment of USAID's four strategic objectives and one special strategic objective. In approaching this task, the contractor shall use as a guide USAID El Salvador's Training Strategy/Concept, lessons learned from CLASP training, new USAID/W HCD guidelines (ADS 253), and a series of consultations to be conducted with USAID El Salvador Strategic Objective teams, 14 or 15 Results Package managers/teams and/or other USAID staff, contractors and local counterparts.

The first week of technical assistance will be dedicated to: a) consultation with Education Results Package and presentation and approval of Work Plan; b) interviews and consultation with all key parties to identify the HCD activities already underway and the new types of training required in broad subject areas by strategic objective. The analysis shall identify areas for potential HCD interventions that are particular to one SO or that cut across two or more strategic objectives. The team will do a financial analysis of the results packages' requirements to be addressed under the new Training Design for the Strategy period. An important element of this process will be active and direct consultation with Mission staff, contractors, and local counterparts through focus groups and/or individual interviews. This kind of feedback is crucial to the design of a program tailored to Mission Strategic Objective needs. Education Results Package staff will assist the contractor in making the appropriate contacts and setting up or carrying out these interviews. The two consultants will divide up

interviews/visits as much as possible in order to make all possible contacts in a timely fashion.

The following two weeks will be dedicated to: a) presentation of findings in a clear format to the Education RPT, receiving of feedback and design of the Activity based on findings;

b) design of a reasonable training unit structure to serve/facilitate the Mission Strategic Objectives and Results Packages in the area of implementation of Human Capacity Development. The design effort will substantially consider the best practices for high impact HCD activities. The work throughout the three weeks of interviews and design will be highly interactive with the Education RPT members to provide for a dynamic feedback process on the findings.

The fourth week will be dedicated to a) presentation of the Activity design in a Draft report to Education Results Package Team with representations from all Strategic Objectives. The feedback from Mission Team will be incorporated into the final draft design. b) Likewise, the Consultants will facilitate one Missionwide half-day workshop for all SO and RP Teams to describe the proposed design of the new training initiative and to receive feedback from these participants.

E. RELATIONSHIPS AND RESPONSIBILITIES

The contractor shall perform the work described above under the technical direction of the Strategic Objective 1, Education Results Package (RP1). The Human Capacity Development Manager shall coordinate the implementation of this SOW with other relevant USAID offices, Grantees and the contractor. For inputs other than guidance, the contractor shall contact/coordinate with the following Mission offices and agencies as necessary:

USAID El Salvador SO Team Leaders or designees;
Government of El Salvador Officials; and
Other Salvadoran Partner Organizations.

During the time in country, the contractor shall meet with the Chief of Education and Training & HCDM on a frequent basis to report on progress and clarify issues related to the SOW. At least two days before completing the task and the scheduled departure date, the contractor shall meet with and brief senior management staff, Results Package managers and SO teams about the HCD Results Activity. The contractor shall revise the draft deliverable to incorporate comments received during the meetings.

ARTICLE II - REPORTS

Article IV REPORTS AND DELIVERABLES

- * Preliminary Work Plan to be faxed from home office before arrival.
- * Work Plan, including intended visits to selected institutions, to be presented within three working days after the arrival of the design team. The work plan will be reviewed and approved by the Education Results Package. The work plan will schedule the activities of each team member; state the objective for each activity; and will also present the outline for the final report.
- * Draft Report in English to be delivered five working days before leaving El Salvador, which will follow the format of the Final Report. The Education Results Package Team will review this draft three days after the date of submission of the draft. The Consultant Team will use comments, both written and oral, from this meeting to revise this draft. The contractor shall incorporate the suggested comments and recommendations in the final draft to be left with USAID/Education and Training prior to departure. The Mission will have seven working days to review this final draft before returning it to the design team for the final version.
- * Final Report of the design plan, with 10 copies in English and 10 in Spanish; clarifications and/or additions requested by the Mission are to be incorporated in the final report. The final report will be received by USAID/Education & Training within two weeks after the contractor's receipt of USAID's comments on the final draft. The final report should include, but not be limited to, the following sections:
 - * Executive Summary: Including purpose of the design, methodology used, best practices for high impact HCD activities, findings, conclusions, recommendations, and a proposed design for training activities to support the Mission's Strategic Objectives. It should be a self-contained document including sufficient information so that the reader can understand the basic design without having to read the entire document.

- * Scope of Work and Methodology: A copy of the initial scope of work and a detailed outline of the methodology used will be included. Any deviation from the scope will be explained.
- * Design: A design of the reengineered training initiative to support Mission's Strategic Objectives and Results Packages during the Strategy period allowing considerable flexibility for changes and incorporation of new concepts.
- * Design Findings, Conclusions and Recommendations: A clear presentation of the design recommendations and priority actions that can be taken by USAID and implementing entities (local NGO, GTD Contractor and/or institutional contractors currently working with USAID Activities) should be included. It is preferable that the design section follow a findings, conclusions and recommendations format.)
- * Listing of Contacts: The listing of all persons/institutions interviewed and/or visited for the purpose of this design should be included in an Annex.
- * Paginated Table of Contents.

ARTICLE III - TERM OF PERFORMANCE

- A. The effective date of this Delivery Order is October 25, 1996 and the estimated completion date is December 13, 1996.
- B. Subject to the ceiling price established in this delivery order and with prior written approval of the Project Manager (identified on the cover page), the Contractor is authorized to extend the estimated completion date, provided that such extension does not cause the elapsed time for completion of the work, including the furnishing of all deliverables, to extend beyond thirty calendar days from the original estimated completion date. The Contractor shall attach a copy of the project manager's approval for any extension of the term of this delivery order to the final voucher submitted for payment.
- C. It is the Contractor's responsibility to ensure that the Project Manager-approved adjustments to the original estimated completion date do not result in costs incurred

which exceed the ceiling price of this delivery order. Under no circumstances shall such adjustments authorize the Contractor to be paid any sum in excess of the ceiling price set forth in this delivery order.

- D. Adjustments which will cause the elapsed time for completion of the work to exceed the original estimated completion date by more than 30 calendar days must be approved in advance by the Contracting Officer.

ARTICLE IV - WORK DAYS ORDERED

A.	<u>Functional Labor Category</u>	<u>Work Days Ordered</u>	<u>Burdened Fixed Daily Rate</u>	<u>Total</u>
-	Program Development Specialist (5)	35	[REDACTED]	[REDACTED]
-	Program Development Specialist (4b)	34	[REDACTED]	[REDACTED]
-	Evaluation Specialist (1b)	<u>4</u>	[REDACTED]	[REDACTED]
	TOTAL	73		

- B. The categories identified above are considered essential for the performance of this delivery order.
- C. Subject to the ceiling price established in this delivery order and the prior written approval of the Project Manager, the Contractor is authorized to adjust the number of work days actually employed in performance by the position specified in this order. The Contractor shall attach a copy of the Project Manager's approval to the final voucher submitted for payment.
- D. It is the Contractor's responsibility to ensure that the Project Manager-approved adjustments to the work days ordered for the functional labor specialist do not result in costs incurred which exceed the ceiling price of this delivery order. Under no circumstances shall such adjustments authorize the Contractor to be paid any sum in excess of the ceiling price.

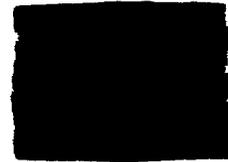
ARTICLE V - CEILING PRICE

For work days ordered
For other direct costs
CEILING PRICE



*Other Direct Costs include the following:

Per Diem
Travel & Transportation
Communications (telephone, fax, etc)
Report Preparation and Misc.



Note: The Contractor will not be paid any sum in excess of the ceiling price. The only person authorized to commit or obligate additional funds is the Contracting Officer. Incurrence of costs in excess of the total amount obligated based on directions received from any individual other than the Contracting Officer and without prior Contracting Officer's approval, shall not be reimbursed to the Contractor.

ARTICLE VI - LOGISTIC SUPPORT

All logistic support necessary to carry out the services described in this work order shall be provided or arranged for by the Contractor.

ARTICLE VII - ADDITIONAL PROVISIONS

The Contractor is authorized a six-day work week without any premium pay.

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SCOPE OF WORK — HERNS TEAM

The team complied with the terms of their agreement as follows:

I. ACTIVITY OBJECTIVES

- A. *Design a Human Capacity Development Results Activity based on CLASP Project lessons learned.*

The report contains the findings and conclusions from document reviews of the CLASP Project and interviews with SO/RP teams about their HCD requirements. These findings were complemented by a demand survey distributed to interviewees. The findings, at this point in time, remain general. A more thorough assessment of training requirements will be conducted during the first phase of each fiscal year.

The design of the activity is based on the findings and conclusions from the HERNS team data collection strategies. The main part of “the design” is found in the section “Proposed Intervention.”

- B. *Conceptualize an efficient working mechanism/structure in the Training Unit in light of the USAID reengineering process, so that training for programming becomes fully supportive and responsive to the Mission’s Strategic Objectives.*

The outline of the functions of the Training Unit are discussed in detail in the section “Implementation/Management Plan.” To provide the Training Unit with training and technical support to meet the challenges of becoming “fully supportive and responsive to the Mission’s Strategic Objectives,” see Component 4 of the “Proposed Intervention.”

- C. *Devise a way to represent the training effort in the Strategic Objective No. 1 Results Framework.*

A key assumption in the design of the new HCD activity is that it is *not* essential that an activity support one *single* IR or SO. The fact that the new HCD activity is designed to support multiple IRs and all SOs should strengthen—not weaken—the justification for funding the activity. The design of the new HCD activity treats training as an input that cuts across SOs. It also assumes that the activity is managed by SO1 because its team includes the Training Unit staff. No other efforts are made in this document to justify the new HCD

activity's placement under SO1. (See "Analytic/Consultation Process" for a discussion of this issue.)

- D. *Review the training related indicators of all SO/Result Packages to see if they are impact-oriented and make recommendations to improve them if applicable.*

An issues paper will be submitted under separate cover.

- E. *Submit a list of issues wherever applicable.*

All significant issues are covered in the body of the report.

II. REPORTS AND DELIVERABLES

HERNS and USAID mutually agreed to change the outline of the report to correspond with recent guidance given by the Mission's Strategic Development Office for new activity design. The deadlines for submitting the reports did not change.

ANNEX H

DESCRIPTION OF LOCAL TRAINING INSTITUTIONS

During the design phase for the new HCD activity, the HERNS team reviewed a list of local institutions for the purpose of assessing local capacity to perform the training activities for USAID under the new HCD activity (see the attached list of institutions). These institutions had or were currently providing training services to GOES and some had provided services in the past to USAID as well as other donor agencies. The HERNS team visited a sample of the institutions, including a university, a not-for-profit foundation and consulting firms. All have provided training services in management and human resource development to USAID. A brief description of the five organizations follows.

Asociación Salvadoreña de Capacitadores (ASCAP): The Salvadoran Association of Trainers is an organization created in October, 1994 to coordinate and strengthen the training provided by its members. A principal goal of the organization is to call attention to the importance of training and training programs within government agencies. The organization offers training services to both its members and to other institutions. The membership began with trainers in public institutions, but has expanded to include consultants and firms in the private sector.

CONSADE, S.A. De C.V.: Consultores Administrativos: CONSADE is a Salvadoran consulting firm which offers professional services to the public and private sectors in various sectors of organizational development. CONSADE is affiliated with several international educational institutions and private consulting firms, such as, the National Autonomous University of Mexico (UNAM); Consultores de Guatemala Y Patrik (specialists in public administration and finances), based in Guatemala City; Management & Research from Managua, Nicaragua (specialists in marketing, opinion polls and evaluation); and Consultores Internacionales para el Desarrollo (CIDESA), from Costa Rica, specializing in the project design and evaluation. CONSADE has delivered training courses in Modernization and Decentralization, Strategic Planning and Total Quality Management, Project Design and Evaluation, General Administration. Clients include Salvadoran Ministries, educational institutions, micro enterprises and community organizations, and private companies.

FEPADE: (Fundación Empresarial Para El Desarrollo Educativo), established over 10 years ago is a not-for-profit educational foundation located in San Salvador. Initially, FEPADE provided technical/vocational training to prepare skilled labor for the private sector. Over the years, the curriculum has expanded, moving into management training. With the advent of reform within the Salvadoran government and the trend towards privatization, FEPADE has added programs to assist the private sector to develop increased management capacity. Currently, FEPADE offers a Masters Degree in business administration and has worked with the American Management Association to provide up-to-date programs for Salvadoran professionals. FEPADE has itself developed the

internal capacity for educational research, having worked as a sub-contractor with Harvard University on the well-known study of the education sector in El Salvador. FEPADE staff have taught courses on reengineering, quality control, and communications and teamwork. Moreover, FEPADE took an active role in the implementation of the follow-on program for the CLASP Training–Employment Leaders. Additionally, FEPADE has initiated a training program to incorporate women, as employees and entrepreneurs, into the formal sector of the economy. Women identified as leaders and change agents were offered a “training of trainers” course. Exceptional participants have been sent for training in the U.S.

INVERCAD, (Inversión en Consultoría y Capacitación para el Desarrollo Humano) is a private consulting firm which specializes in training in the management and human resource development. The principals of the firm have a long history of experience as trainers for major government agencies and have offered their services through INVERCAD since December, 1995. They are affiliated with the Costa Rican Consulting firm, “Jose Leñero y Asociados” and the firm “Dinámica Organizacional,” headquartered in Mexico. They have provided courses, won through competitive bidding, in Total Quality Management, Reengineering, Administrative Efficiency, Legal and Financial Administration, and Motivation and Self-esteem. The firm has provided services to the, among others, The World Bank for the modernization of El Salvador project, for the Training Department of the Finance Ministry, the University of El Salvador, and the Ministry of Education.

Universidad Francisco Gavidia: The Francisco Gavidia University is a private university with significant experience in working with USAID and other donor agencies’ development training programs. Consortium for Service to Latin America (CLSA) selected the university as its counterpart to conduct an evaluation of the teachers training Program under the CAPS Project. The World Bank selected the university as its counterpart for the EDUCO program which is training teams to form Parent-Teacher Associations in 14 departments. The University has frequently provided various kinds of training to the Ministry of Education’s Primary Education Teachers in a manner based on CAPS methodology. The Georgetown University CASS program selected the university to participate in a unique one-year course offered through the INTERNET. The university will work with CASS returnees and other employees of twelve Salvadoran companies in a unique one-year course that combines distance learning techniques and live seminars on “Techniques for Business Solution.” In 1990, the university established a seven person Unit for Special Projects and International Cooperation to handle extra-university projects on which the university chooses to bid. The staff includes two trainers, two research specialists and two evaluation specialists, plus the director. Additionally, part-time people have been trained and work for the university when needed. For instance, ten coordinators and 60 part-time trainers are available to work on special projects.

MINISTERIO DE RELACIONES EXTERIORES
DIRECCION GENERAL DE COOPERACION EXTERNA
UNIDAD TECNICA ADMINISTRATIVA PROYECTO AID N° 519- 0349
"APOYO TECNICO ANALISIS DE POLITICAS Y CAPACITACION.
EMPRESAS IMPARTIDORAS DE EVENTOS DE CAPACITACION PRECALIFICADAS

INSTITUCION	REPRESENTANTE LEGAL	DIRECCION Y TELEFONO	FECHA DE CONSTITUCION	CAMPOS DE ESPECIALIZACION
L. CHEVEZ, CONSULTORES S.A. DR C.V.	LIC. LUIS ALONSO CHEVEZ MOLINA	FINAL 20 AVENIDA NORTE N° 2-17, CONDOMINIO BALBOA, COLONIA PANAMA, SAN SALVADOR. TEL Y FAX 276-5219	23 DE NOVIEMBRE DE 1995	1.- GERENCIA PUBLICA. 2.- MODERNIZACION DEL SECTOR PUBLICO. 3.- ADMINISTRACION DE RECURSOS HUMANOS. 4.- FORMULACION, EVALUACION Y GERENCIA DE PROYECTOS 5.- PLANIFICACION Y GERENCIA ESTRATEGICA. 6.- ADMINISTRACION POR OBJETIVOS.
FUNDACION INTERNACIONAL DE LAS AMERICAS (UNION INTERNACIONAL DE LAS AMERICAS)	ING. REGINA ANDREU	CALLE 23, AVENIDA 7 Y 7 BIS (FRENTE ANTIGUO ADUANA) COSTA RICA 33-4342 EL SALVADOR 222-3640	7 DE ABRIL DE 1986	1.- ADMINISTRACION. 2.- INGENIERIA DE SISTEMAS. 3.- INGENIERIA INDUSTRIAL. 4.- IDIOMAS.
SISTEMAS CULTURALES Y EDUCATIVOS, S.A. DE C.V.	SONIA JEANNETTE MOLINA AYALA DE TRASLAVIÑA	43 AVENIDA SUR N° 228 ZONA 2, COLONIA FLOR BLANCA, SAN SALVADOR. TEL. 271-1398, 223-7510	10 DE NOVIEMBRE DE 1989	1.- RECURSO HUMANO. 2.- CONSULTORIAS. 3.- INVESTIGACIONES DE MERCADO. 4.- ASESORIAS GERENCIALES. 5.- ALTA GERENCIA.
INCAR	LIC. MABEL DE SRRAROLS	CONDOMINIO TORRE MOLINO OFICINA N° 8, 79 AVENIDA NORTE, SAN SALVADOR. TELS. 223-4423 Y 223-4719.	1994	1.- DOCENCIA E INVESTIGACION EN EL AREA DE LA ADMINISTRACION Y LA ECONOMIA APLICADA.
CONSULTORIA, INVERSION Y DESARROLLO S.A. DE C.V.	ING. ROLANDO ARTURO CASTEÑEDA HUEZO	BOULEVARD MARIA CRISTINA, PASAJE LAS FLORES, EDIFICIO 144, LOCAL 4-A, SAN SALVADOR	6 DE JULIO DE 1993	1.- INVESTIGACIONES INDUSTRIALES, AGROINDUSTRIALES, ECONOMICAS, FINANCIERAS Y EXPORTACION DE MAQUILA. 2.- FINANZA, BANCA, MERCADEO Y VENTAS. 3.- DESARROLLO GERENCIAL Y PLANEAMIENTO ESTRATEGICO. 4.- CREACION DE MICRO Y PEQUEÑAS EMPRESAS. 5.- INGENIERIA INDUSTRIAL. 6.- INGENIERIA ELECTRONICA.

M. M. CONSULTORES, S.A. DE C.V.	LIC. MIGUEL LUIS MARTINEZ RODRIGUEZ	COLONIA Y CALLE QUEZALTEPEC N° 2, SANTA TECLA. TEL. 228-3850	9 DE MARZO DE 1992	1.- ADMINISTRACION FINANCIERA. 2.- DESARROLLO INSTITUCIONAL. 3.- SIMPLIFICACION OPERATIVA. 4.- POLITICA FISCAL. 5.- PLANIFICACION SECTORIAL Y OPERATIVA.
INVERSION EN CONSULTORIA Y CAPACITACION PARA EL DESARROLLO HUMANO (INVERCAD) S.A. DE C.V.	LIC. JOSE ANTONIO GUZMAN CHAVEZ	URBANIZACION JOSE SIMEON CAÑAS, PASAJE LAUREL N° 28, MEJICANOS TEL. 274-8435, 886-4272	1 DE DICIEMBRE DE 1996	1.- GESTION PUBLICA 2.- AREA FINANCIERA (SECTOR PUBLICA) 3.- AREA ADUANERA. 4.- AREA TRIBUTARIA 5.- AREA DE ADMINISTRACION DE RECURSOS HUMANOS.
INSTITUTO CENTROAMERICANO EN ADMINISTRACION PUBLICA (ICAP)	DOCTOR HUGO ZELAYA CALIX	SAN JOSE COSTA RICA DE LA POPS, EN CURRIDABAT 100 MTS. SUR Y 50 M. OESTE. APARTADO POSTAL N° 10.025- 1000 TEL. 34-1011, FAX 25-2049	12 DE DICIEMBRE DE 1959	1.- ADMINISTRACION PUBLICA. 2.- GERENCIA PUBLICA. 3.- GERENCIA SOCIAL. 4.- GERENCIA DE PROYECTOS DE DESARROLLO.
ASOCIACION SALVADOREÑA DE INGENIEROS Y ARQUITECTOS (ASIA)	ING. MARIO FREDY HERNANDEZ RODRIGUEZ	75 AVENIDA NORTE N° 632 COLONIA ESCALON. TELS. 223-3257, 279-0227, 223-3907. FAX 279-0227 APARTADO POSTAL N° 747	21 DE OCTUBRE DE 1960	1.- INGENIERIA. 2.- ARQUITECTURA.
UNIVERSIDAD TOMAS ALBA EDISON	ING. JOSE JUAN INTERIANO VIGIL	19 CALLE PONIENTE N° 245, CENTRO DE GOBIERNO. TEL. 272-3878	30 DE SEPTIEMBRE DE 1995	1.- EDUCACION SUPERIOR. 2.- FORMACION PROFESIONAL. 3.- ASESORIA Y CONSULTORIA.
ASOCIACION SALVADOREÑA DE INGENIEROS MECANICOS, ELECTRICISTAS E INDUSTRIALES (ASIMEI)	ING. EDGAR OMAR SOLORZANO	AVENIDA EL PADER Y CALLE CEDROS N° 1119, COLONIA BUENOS AIRES N° 1 A. P. 01167, SAN SALVADOR TEL. 226-2406, 225-5362	6 DE MARZO DE 1967	1.- INDUSTRIAL 2.- ELECTRICA. 3.- QUIMICA. 4.- AGRONOMICA. 5.- COMPUTACION. 6.- MECANICA. 7.- ARQUITECTURA.
EXPERTOS NACIONALES EN CAPACITACION Y ASESORIA EMPRESARIAL (ENCAE)	LIC. ADRIANA DE BARAHONA	RESIDENCIAL LA CIMA III, PASAJE 18-C, CASA 93, SAN SALVADOR TEL. 886-9176		1.- RECURSO HUMANO. 2.- CONSULTORIA. 3.- ADMINISTRACION PUBLICA. 4.- ASESORIA. 5.- PLANIFICACION. 6.- OTROS TEMAS.

<p>AZA CONSULTORES, S.A. DE C.V.</p>	<p>LIC. SANTIAGO ZAVALTA</p>	<p>CONDOMINIO "NOBLES DE AMERICA". 4° NIVEL, APARTADO N° 31, ALAMEDA JUAN PABLO II Y 39 AVENIDA NORTE, SAN SALVADOR TELS. 224-1126, 224-3707 Y 224-4017.</p>	<p>19 DE FEBRERO DE 1993</p>	<ol style="list-style-type: none"> 1.- CAPACITACION EN LAS AREAS DE FORMULACION Y EVALUACION DE PROYECTOS DE EXPORTACION, POLITICAS MACROECONOMICAS, PLANEACION ESTRATEGICA, AUDITORIA OPERACIONAL, SISTEMAS CONTABLES DE CONTROL INTERNO, CONTROL DE PRESUPUESTOS GUBERNAMENTALES, TECNIFICACION CONTABLE, ADMINISTRACION DE PROYECTOS CON FONDOS EXTERNOS. 2.- ELABORACION DE ESTUDIOS PARA IMPLEMENTACION DE PROYECTOS PUBLICOS Y PRIVADOS. 3.- ASESORIA FINANCIERA Y ADMINISTRATIVA EMPRESARIAL.
<p>INTERNATIONAL CONSULTING & TRAINING FOR PRODUCTIVITY CORP (INCAT)</p>	<p>ING. RICARDO ORTIZ</p>	<p>URBANIZACION LAS AZALEAS, PASAJE 1 N°2, CENTRO URBANO JOSE SIMBON CAÑAS (CALLE A AYUTUZTEPEQUE).</p>	<p>1 DE DICIEMBRE DE 1995.</p>	<ol style="list-style-type: none"> 1.- ADMINISTRACION Y FINANZAS. 2.- AGROPECUARIA. 3.- COMUNICACION SOCIAL Y RELACIONES PUBLICAS. 4.- ASOCIACIONES VOLUNTARIAS Y COOPERATIVISMO. 5.- ECONOMIA Y COMERCIO. 6.- EDUCACION, RECURSOS HUMANOS Y CAPACITACION. 7.- INFORMATICA, PRODUCCION Y TECNOLOGIA. 8.- SALUD Y POBLACION. 9.- TURISMO. 10.- OTROS TEMAS.
<p>ASESORRES CONSULTORES EN DESARROLLO (ACENDE) DIVISION DE NEGOCIOS INDUSTRIALES SALVADOREÑOS S.A. DE C.V.</p>	<p>ING. ALEX EMILIO CARCAMO MONCADA</p>	<p>31 AV. SUR N°128 BIS COL. CUCUMACAYAN, APARTADO POSTAL 1405, SAN SALVADOR. TEL. 222-5231, FAX 222-0902</p>	<p>13 DE OCTUBRE DE 1992</p>	<ol style="list-style-type: none"> 1.- DESARROLLO ORGANIZACIONAL 2.- PLANIFICACION Y DIRECCION DEL RECURSO HUMANO. 3.- FORMULACION Y EVALUACION DE PROYECTOS. 3.- PLANIFICACION ESTRATEGICA. 4.- ADMINISTRACION PUBLICA. 5.- REINGENIERIA. 6.- SISTEMA DE INFORMACION. 7.- CORRESPONDENCIA Y MANEJO DE DOCUMENTOS. 8.- ADMINISTRACION DE INVENTARIOS. 9.- EXCELENCIA EN EL SERVICIO AL CLIENTE. 10.- CONTROL DE CALIDAD TOTAL.

<p>CONSULTORIA ADMINISTRATIVA EMPRESARIAL (CONSADE), S.A. DE C.V.</p>	<p>LIC. JOSE ANGEL VILLEDA</p>	<p>URBANIZACION MAQUILISHUAT, FINAL CALLE JACARANDA, AVENIDA AZALEAS N° 3-B SAN SALVADOR. TELS. 223-6747 Y 886-5767.</p>	<p>21 DE JUNIO DE 1988</p>	<ol style="list-style-type: none"> 1.- FORMULACION, EVALUACION Y ADMINISTRACION DE PROYECTOS DE INVERSION Y DE DESARROLLO. 2.- ASESORIA FINANCIERA Y ADMINISTRATIVA. 3.- INVESTIGACION, DESARROLLO E IMPLEMENTACION DE TODO TIPO DE PLANES, PROGRAMAS, METODOS Y SISTEMA DE ASESORIA. 4.- FORMULACION Y EVALUACION DE PRESUPUESTOS. 5.- ORGANIZACION Y REESTRUCTURACION DE TODA CLASE DE SOCIEDADES, EMPRESAS. 6.- AUDITORIAS ADMINISTRATIVAS, DE PERSONAL DE ESTADOS FINANCIEROS Y SISTEMAS. 7.- ADMINISTRACION Y DESARROLLO DE RECURSOS HUMANOS. 8.- CAPACITACION EN LAS AREAS ANTERIORES.
<p>SISTEMAS CONSULTORES Y EDUCATIVOS, S.A. DE C.V.</p>	<p>SONIA JEANNETTE MOLINA AYALA DE TRASLAVIÑA.</p>	<p>43 AVENIDA SUR N° 228 ZONA 2, COLONIA FLOR BLANCA, SAN SALVADOR. TEL. 271-1398 223-7510</p>	<p>10 DE NOVIEMBRE DE 1989.</p>	<ol style="list-style-type: none"> 1.- RECURSO HUMANO 2.- CONSULTORIAS 3.- ADMINISTRACION PUBLICA 4.- ASESORIA. 5.- PLANIFICACION 6.- OTROS TEMAS.
<p>ASESORIA, CAPACITACION Y SERVICIOS EMPRESARIALES SOCIEDAD ANONIMA DE CAPITAL VARIABLE (ASCENSO, S.A. DE C.V.)</p>	<p>IVAN ALVARADO MELENDEZ Y ANA ARACELY FOLGAR DE CRUZ</p>	<p>CALLE ARCE, EDIFICIO ALFARO MONGE N° 1280 3a. PLANTA N° 34, SAN SALVADOR TEL. 271-0972.</p>	<p>18 DE ENERO DE 1993</p>	<ol style="list-style-type: none"> 1.- ADMINISTRACION PUBLICA 2.- ADMINISTRACION Y DIRECCION DE RECURSOS HUMANOS. 3.- FINANZAS PUBLICAS. 4.- ECONOMIA DEL SECTOR PUBLICO. 5.- ADMINISTRACION FINANCIERA.

<p>EASA CONSULTORES</p>	<p>ING. MANUEL ENRIQUE LOPEZ MUÑOZ</p>	<p>LOS YOSSES, SAN PEDRO DE MONTES DE OCA, DEL BARRIO 25M AL ESTE, TERCER PISO, SAN JOSE COSTA RICA. TELS. (00506) 72-2103, (00506) 53-1407. FAX (00506) 54-9924, APARTADO POSTAL 1322-2050, COSTA RICA.</p>	<p>4 DE JUNIO DE 1984</p>	<ol style="list-style-type: none"> 1.- FORMULACION Y EVALUACION TECNICO- ECONOMICA DE PROYECTOS AMBIENTALES. 2.- ESTUDIOS SOBRE CONTROL DE LA CONTAMINACION AMBIENTAL. 3.- ESTUDIOS DE EVALUACION DE IMPACTO AMBIENTAL (EIA). 4.- TRATAMIENTO DE AGUAS RESIDUALES, TANTO DE PROCEDENCIA MUNICIPAL COMO INDUSTRIAL. 5.- DISEÑO Y EVALUACION DE SISTEMAS DE POTABILIZACION DE AGUAS. 6.- ACONDICIONAMIENTO DE AGUAS PARA USO INDUSTRIAL. 7.- ESTUDIO DE HIDROLOGIA E HIDROGEOLOGIA. 8.- SISTEMA DE RECOLECCION, TRATAMIENTO Y DISPOSICION FINAL DE DESECHOS SOLIDOS. 9.- INFRAESTRUCTURA HIDRAULICO-SANITARIA PARA EDIFICIOS Y URBANIZACIONES. 10.- CAPACITACION Y ASESORIA EN OPERACION Y MANTENIMIENTO DE SISTEMAS DE TRATAMIENTO DE AGUAS. 22.- DISEÑO Y SUPERVISION DE INSTALACIONES ELECTROMECANICAS PARA ABASTECIMIENTO Y TRATAMIENTO DE AGUAS.
<p>OFICINA DE NEGOCIOS Y SERVICIOS PROFESIONALES S.A. DE C.V. (ONYSERP, S.A. DE C.V.)</p>	<p>LIC. EDGARDO RENE PACHECO GUEVARA</p>	<p>RESIDENCIAL SANTA MARIA, CALLE LAS MARGARITAS BLOCK "D" N° 2, AYUTUXTEPEQUE.</p>	<p>19 DE FEBRERO DE 1993</p>	<ol style="list-style-type: none"> 1.- PLANIFICACION 2.- FORMULACION Y EVALUACION DE PROYECTOS 3.- ADMINISTRACION DE RECURSOS HUMANOS. 4.- ADMINISTRACION FINANCIERA.

ANNEX I

LESSONS LEARNED FROM CLASP¹

INTRODUCTION

CLASP has introduced great improvement in the overall quality, applicability, and impact of USAID-funded training while practicing cost containment. Lessons learned from CLASP training have been shared over the years among the stakeholders and have resulted in improved delivery of services and sharper program focus.

CLASP has helped the Agency to understand more clearly how effective development training should be done, and how it should be formulated and programmed to ensure that Trainees receive the best training and are equipped to use the training upon their return home.

CLASP also points to the direction needed for designing *strategic training*—training that is directly linked to the achievement of concrete development goals in measurable and demonstrable ways. USAID missions in the LAC region have made great efforts over the past several years to mold CLASP training to the new strategic planning model adopted by the Agency.

Although CLASP was designed in another historical era to meet a different challenge, it has been successfully adapted to the changes in mission programming and has continued to be improved by monitoring and evaluation. The lessons learned have been gathered from evaluations, observations, and experiences over the duration of the Project.

TRAINING DESIGN FACTORS

- CLASP has adopted a step-by-step training design procedure which incorporates the essential elements for good training into every program.
- Innovative training experiences appear to be those where programs have been carefully tailored to the Trainee, receive active monitoring by the contractor, provide for meaningful interactions between the Trainees and the community, and include an intensive follow-on program.

¹Excerpts from Chapter One of the *Final Report of the Caribbean and Latin American Scholarship Program Monitoring and Evaluation Contract*, November 1996.

- Contractors suggest that the Trainee profile with the greatest potential to effectively apply the CLASP training experience is: young; rural; an emerging leader (male or female) with basic readiness for the training; one who works well with others; and one who enjoys the support of family, community, and employer.
- Non-productive training experiences tend to be those where there is
 1. insufficient lead time to organize the appropriate program;
 2. insufficient knowledge about the participants; and
 3. a lack of homogenous educational grouping. Other less frequent contributors are insufficient language skills, campus isolation, and overloading participants with didactic presentations.
- In Trainee groups, homogeneity of educational levels is important to a successful program. For programmatic reasons, it may be decided that the group should be heterogeneous in social class, age, etc., but program planners should make such decisions carefully and provide means which can help mitigate difficulties that may arise.
- Monitoring has shown that adequate lead time is crucial for selecting appropriate candidates and for allowing them to prepare for training abroad. Most contractors need from 4 to 6 months lead time for long-term programs. For short-term programs, the need for lead time ranges from 2 to 6 months. However, the length of lead time depends on the type of training program and the closeness of contractors' ties to training institutions.
- A recognition of the importance of matching Trainee expectations with the actual training received has led to improved results, planning and better pre-departure orientations.
- The best training is that which is most directly applicable to the Trainee's job or volunteer activity, well matched with the educational capacity of the participant.
- CLASP encouraged the development of a *core group* or *critical mass* approach for including a sufficient number of complementary, mutually supportive people within an institution, sector or community who represent various administrative and technical levels. The demonstrated effectiveness of training a *critical mass* within a particular host country counterpart institution rather than dispersing training opportunities *thinly* through many

institutions has convinced many contractors and missions to adopt this approach.

- CLASP training requires Trainees to concentrate on outputs, impact, and training objectives by asking them to produce action plans prior to entering the training program.
- CLASP program objectives, recruitment strategies, and follow-on plans are agreed upon in a participatory compact between counterpart institutions, USAID, and the training contractors and providers at the very beginning of planning for training.
- The relevance and appropriateness of CLASP training to meeting the conditions and needs of the country is enhanced by bringing U.S. training providers to the country prior to the training.
- Group sizes ranging from 15 to 20 are frequently cited by contractors as optimum. There is a feeling that a manageably-sized group outweighs the cost factor due to better logistics, group dynamics, and opportunities for interaction by the participants with North Americans.
- Some contractors seem to prefer smaller training institutions with fresh ideas where USAID participants are a *novelty*; community-based institutions with strong community interaction; institutions that are more *typical* and do not distort the truth about the U.S.; and institutions that are not isolated but are integrated with a larger community.
- As the program evolved, tailor-made programs were designed to meet the needs of each CLASP group rather than depending on off-the-shelf programs which seldom address Mission-specific development goals.
- Missions conduct well-planned pre-training orientations to inform Trainees what to expect from their training and to encourage them to plan from the very beginning how they will apply their new skills upon their return.
- Trainees benefit from a well-designed Experience America component of their training in the following ways: a positive regard for U.S. people, culture, and government; quicker adjustment and assimilation; opportunities to make new friends and contacts; first-hand experiences with volunteerism and leadership; and an understanding of how U.S. communities organize and mobilize on particular issues.

- A structured re-entry program is provided by most Missions in order to bring returned participants back into the work setting with other employees and provide immediate direction and encouragement.
- Training investments are exponentially leveraged when follow-on is provided to returned participants.
- CLASP Trainees have regularly been offered the opportunity to participate in programmed follow-on activities, including support to share their training with colleagues and fellow community members.
- Employers of returned participants are involved in the process so they will support returnees in applying their training experiences—taking full advantage of the new skills and knowledge of Trainees. They often provide returned participants with the resources required for the transfer of skills and knowledge.
- The evaluation focus on performance measurement and strengthening Trainee results brings a better understanding of the importance of post-return follow-on support in the host country, and most contractors have greatly expanded follow-on activities.
- The best training involves not the individual Trainee, but also the Trainee's employer or supervisor. This approach has been crystallized in those missions, such as El Salvador, that have begun to require a compact between Trainees, the sponsoring institutions, and USAID. The compact details mutual expectations, how the Trainee is expected to apply the training, how the employer will support that application, and how USAID will work with institutions and Trainees to increase the likelihood that Trainees will truly be able to bring about change in their institutions.

COST SAVING PRACTICES

The various firms contracted by the missions to implement CLASP programs have used a number of cost containment practices in their efforts to economize without altering the quality of training programs. Special efforts have been made to seek out lower cost, quality training programs that meet specific development requirements. The result has been the identification of a much broader range of academic institutions and other training providers than was generally used prior to CLASP.

- For academic programs, tuition waivers have been negotiated, although this is becoming more difficult than it was in the past as state governments face budget problems.

- CLASP Trainees are encouraged to live on-campus which is generally cheaper than living off-campus.
- University and community resources are being used at no cost to contractors to cover many of the Experience America requirements of the program (e.g., arranging home visits, enabling participation in community activities, and providing visits to local and state government offices).
- Contractors seek out programs with proven track records and then try to obtain the best prices possible. As many as 15 to 20 RFPs per program are sent out to these quality providers. Negotiations with those selected as the best are undertaken to increase savings.
- Very short programs (less than 2 weeks) are not permitted under CLASP, given their high unit cost and the relatively limited impact they produce in meeting development goals.
- Homogeneous groups of 15 to 20 Trainees are recruited and selected, since this is the most cost-effective group size.
- Contractors negotiate international airfares, and travel plans are made well ahead of time to take advantage of the least expensive transportation costs.

MONITORING AND EVALUATION

- CLASP has also shown that an up-front and ongoing plan for monitoring and evaluation through time is the best way to measure progress and to provide critical information to important constituents in the development community, including the Congress. When Aguirre International began the CLASP monitoring and evaluation effort, it was apparent that the CLASP training project was vulnerable to charges that it was not attracting the requested numbers of participants, that the participants were not from the Congressionally mandated groups (disadvantaged, women, rural), and that USAID did not have sufficient administrative control over the far-flung project. To this end, Aguirre International ensured that accurate data was collected which could be used to describe key variables to the Congress and the administration. On a number of occasions, the ready availability of this data assisted USAID both in demonstrating that the program was fulfilling its mandated targets and that the Agency had ample management information at its immediate disposal.
- The positive results for programming that grew out of the monitoring and evaluation component of the program demonstrate the important role that

these activities can have in providing program managers and implementers with ongoing feedback for improving the performance and outcomes of training.

- Cost-accounting analysis done under the CLASP contract has provided guidance on ways to contain costs in U.S. training procurement while retaining the elements which are most productive in ensuring training impact.

A COMPARATIVE STUDY OF CLASP AND NON-CLASP TRAINEES IN EL SALVADOR

- CLASP Trainees begin their training with a greater understanding of the goals, content and expectations of their training than non-CLASP Trainees.
- Most CLASP Trainees develop an action plan thereby guiding their training to prepare them to undertake specific actions.
- Most CLASP Trainees participate in some follow-on or monitoring activity after the completion of their training.
- CLASP Trainees surveyed were more likely to share their training with others than those from non-CLASP training.
- Some 81 percent of the CLASP Trainees surveyed indicated that they use their training on the job either *much* or *very much*.
- Over 85 percent of the CLASP Trainees surveyed have seen their responsibilities increase after returning home from U.S. training, and nearly all attribute this to CLASP.
- CLASP Trainees also demonstrate a higher level of volunteer activities than non-CLASP Trainees.
- Seventy-two percent of CLASP Trainees feel that the training has been very useful in helping them become more effective leaders.

CONCLUSIONS

USAID training in the future will draw on the lessons learned from the CLASP experience, but it will be strictly tied to the achievement of specific intermediate impact within the results framework. Perhaps the CLASP format developed in 1994 for short-term training in El Salvador provides a

useful model for the design of this kind of high impact, focused training. It includes a training design which is:

- **integrated**, combining technical training with the interpersonal and administrative skills needed to accomplish change;
- **based on a participatory approach**, which provides project managers with the collective knowledge of in-country *customers*, allowing them to give realistic design and implementation guidance;
- **sustainable**, because diverse stakeholder viewpoints have been integrated to guarantee that training responds to the technical, cultural, and socioeconomic realities of the country. Furthermore, the creation of *change agents* logically fosters the country's self reliance in making development a reality; and
- **cost efficient**, because it focuses on the utilization of stakeholders to design and implement all development activities. This results in increasing the project's applicability to host country development needs and priorities.

Training after CLASP will incorporate all of these elements that the program has developed as its legacy. Most importantly, training will be directly linked to concrete development goals that derive from the coordinated strategic planning of each mission.

RECOMMENDATIONS

- ▶ That every project have a monitoring and evaluation component built into its design. Early in the project the evaluation should be process-oriented, as the project evolves and participants begin to implement their training, the focus should shift to impact evaluations.
- ▶ That training be supportive of USAID Strategic Objectives and that indicators are built into the project from conception.
- ▶ That a design procedure which incorporates the essential elements for effective training into every program be adopted before the training.
- ▶ That participants in group training programs are homogenous according to education level, experience, and social status.
- ▶ That adequate lead time be programmed for selecting participants and preparing them for their training experience.
- ▶ That the Trainee departs for his or her training program with realistic expectations.

- ▶ That a core group or critical mass approach be considered in order to develop a sufficient number of complementary and mutually supportive persons within an institution.