

POKAR 955

UNCLASSIFIED

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

COSTA RICA

PROJECT PAPER

CENTRAL AMERICA PEACE SCHOLARSHIP

AID/LAC/P-549

Project Number: 515-0254

UNCLASSIFIED

1

AGENCY FOR INTERNATIONAL DEVELOPMENT  
**PROJECT DATA SHEET**

1. TRANSACTION CODE: **A** (A = Add, C = Change, D = Delete)  
Amendment Number: \_\_\_\_\_ DOCUMENT CODE: **3**

2. COUNTRY/ENTITY: **Costa Rica**

3. PROJECT NUMBER: **515-0254**

4. BUREAU/OFFICE: **LAC**

5. PROJECT TITLE (maximum 40 characters): **Central America Peace Scholarship Program**

6. PROJECT ASSISTANCE COMPLETION DATE (PACD):  
MM DD YY: **01 9 30 9 8**

7. ESTIMATED DATE OF OBLIGATION (Under "B" below, enter 1, 2, 3, or 4)  
A. Initial FY: **90** B. Quarter: **3** C. Final FY: **93**

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

A. FUNDING SOURCE	FISCAL FY 90			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	2,000		2,000	15,000		15,000
(Grant)	( )	( )	( )	(15,000)	( )	(15,000)
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1.						
U.S. 2.						
Host Country						
Other Donor(s)						
<b>TOTALS</b>	<b>2,000</b>		<b>2,000</b>	<b>15,000</b>		<b>15,000</b>

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ESF	600	600		0	0	2,000		15,000	
(2)									
(3)									
(4)									
<b>TOTALS</b>				<b>0</b>	<b>0</b>	<b>2,000</b>		<b>15,000</b>	

10. SECONDARY TECHNICAL CODES (maximum 8 codes of 3 positions each): **690**

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)  
A. Code: **BR BU BW** B. Amount: \_\_\_\_\_

13. PROJECT PURPOSE (maximum 400 characters):  
 To equip a broad base of teachers and potential leaders in Costa Rica with technical skills, training and academic education as well as an appreciation and understanding of the workings of a free enterprise in a democratic society.

14. SCHEDULED EVALUATIONS: Interim: MM YY MM YY Final: **09 95**

15. SOURCE/ORIGIN OF GOODS AND SERVICES:  800  M1  Local  Other (Specify) \_\_\_\_\_

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

17. APPROVED BY: **Jan Clarkson**  
Signature: \_\_\_\_\_ Title: **Mission Director** Date Signed: **01 09 95**

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

Controller concurs with methods of implementation and finance included here-in.

**PROJECT AUTHORIZATION**

**Name of Country:** Costa Rica  
**Name of Project:** Central America Peace Scholarship Program  
**Number of Project:** 515-0254

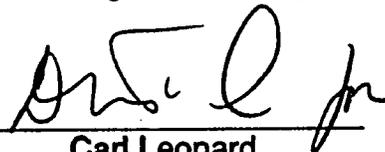
1. Pursuant to Section 531 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Central American Peace Scholarship Program Project, involving planned obligations of not to exceed Fifteen Million United States Dollars (\$15,000,000) in grant funds ("Grant") through September 30, 1998, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process, to help in financing foreign exchange and local currency costs for the project. The planned life of the project is eight (8) years and three (3) months.

2. The project ("Project") consists of the financing of long and short term training in the United States, for approximately 715 public and private sector individuals from Costa Rica, emphasizing economic, social, or political development areas of concern, and with priority attention to long term leadership potential of the individuals selected.

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

a. Source and Origin of Commodities, Nationality of Services

Commodities financed by A.I.D. under the Grant shall have their source and origin in the cooperating country (Costa Rica) or in the United States, except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have Costa Rica or the United States as their place of nationality, except as A.I.D. may otherwise agree in writing. Ocean shipping financed by A.I.D. under the Grant shall be financed only on flag vessels of the United States, except as A.I.D. may otherwise agree in writing.



Carl Leonard  
Mission Director

5/02/90

Date

## TABLE OF CONTENTS

	<u>Page</u>
<b>GLOSSARY OF TERMS</b>	<b>iv</b>
<b>I. SUMMARY AND RECOMMENDATIONS</b>	<b>1</b>
<b>II. PROGRAM RATIONALE AND DESCRIPTION</b>	<b>2</b>
<b>A. Background and Rationale</b>	<b>2</b>
1. A.I.D. Participant Training Programs, 1949-1984	<b>2</b>
2. Reports and Evaluations Leading to CLASP	<b>3</b>
3. CLASP I Project History and Description	<b>4</b>
4. Rationale for CLASP II	<b>7</b>
<b>B. Program Objectives</b>	<b>10</b>
<b>C. Program Description</b>	<b>10</b>
1. Peace Scholar Recruitment and Selection	<b>11</b>
2. Training Objectives	<b>12</b>
3. Detailed Training Requests	<b>15</b>
4. Pre-program Orientation	<b>16</b>
5. Experience America	<b>17</b>
6. Cost Containment	<b>20</b>
7. Summary of Program Requirements	<b>21</b>
<b>III. COUNTRY PROJECT DESCRIPTION</b>	<b>22</b>
<b>A. Mission Background and Rationale</b>	<b>22</b>
<b>B. Mission Objectives and Strategy</b>	<b>23</b>
1. Objectives	<b>23</b>
2. Training Strategy	<b>23</b>
a. Education	<b>24</b>
b. Natural Resources	<b>24</b>
c. Local Public Sector	<b>25</b>
d. Community Action/Participation	<b>25</b>
e. Private Sector	<b>25</b>

C. Project Activities	26
1. Key Definitions	26
2. Short-term Technical Training	28
3. Long-term Technical Training	32
4. Long-term Academic Training	34
IV. FINANCIAL PLAN AND ANALYSIS	37
A. Financial Analysis	37
B. Methods of Implemental and Financing	42
V. IMPLEMENTATION AND EVALUATION PLAN	44
A. Administrative Arrangements	44
3. Monitoring, Evaluation and Audit Plan	45
1. Program Monitoring and Evaluation	45
2. Mission Monitoring, Evaluation and Audit	51
3. Contracting Plan	52
J. Implementation Schedule	53
VI. SUMMARY OF PROJECT ANALYSES	54
A. Social/Institutional-Framework	54
B. Administrative an	
C. Economic	61
D. Technical	62

## VII. ANNEXES

- A. Logical Framework
- B. Statutory Checklist
- C. PID Approval Cable
- D. CLASP I Implementation Experience
- E. Relative Costs of Contracting Modes
- F. Model Training Requests (PIO/P)
- G. Training Cost Analysis (TCA) Instructions and Sample Forms
- H. CLASP II Impact Evaluation: Insights from a Conference
- I. Initial Environmental Examination (IEE)
- J. Social and Institutional Framework (SIF)
- K. SIF Approval Cable

## I. SUMMARY AND RECOMMENDATIONS

It is recommended that USAID/Costa Rica establish a fund of \$15 million in grant assistance for the period FY 90 - FY 97 to provide training programs in the United States for selected Costa Rican citizens and permanent residents. The project, which because of the prestige and reputation of its predecessor project "CAPS" will be known in Costa Rica as "CAPS II," will finance the following activities:

1. short-term (less than 9 months) U.S. training;
2. long-term U.S. training (9 months or more);
3. predeparture orientation and English Language Training (ELT)
4. post-training follow-on activities.

### B. Project Summary

The Central America Peace Scholarship Program II (CAPS II) responds to a recommendation of the National Bipartisan Commission for Central America (also known as the "Kissinger Commission") to provide training opportunities in the United States for 7,000 Central Americans (later amended to 12,200). Costa Rica's target under CAPS was 1,822 participants, with total project funding of \$30.62 million.

CAPS was unique in several ways. The recruitment and selection process focused on the target group of women, minorities, and the socio-economically disadvantaged. Project guidelines were provided to assure that at least 40% of participants were women and at least 70% were socio-economically disadvantaged. A target of 20% of total participants would train under long-term programs, with Missions challenged to reach 30%. At least 10% of all participants would be placed in Historically Black Colleges and Universities (HBCUs). Cultural objectives assured that participants would have direct exposure to United States values and customs. The "Experience America" component of CAPS has provided participants with the opportunity to live with an American family and thereby observe the values of family life first-hand, and to become involved with local organizations which provide the impetus for development and growth at the local level. Finally, the politically and economically elite would be excluded from training opportunities under CAPS.

CAPS II continues this basic format, focusing on training activities which will develop a sense of democratic pluralism, a respect and commitment to the development of free markets, and economic development of Costa Rica. Priority areas for CAPS II will include natural resources management, education, local volunteer organizations, and the local/regional commercial sector. The program will provide training opportunities to individuals from the public and private sectors.

7

## II. PROGRAM RATIONALE AND DESCRIPTION

### A. Background and Rationale

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

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

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

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

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

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

6

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

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

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

## 2. Reports and Evaluations Leading to CLASP

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

The NBCCA, chaired by Dr. Henry Kissinger, was appointed by President Reagan to propose solutions to the political and economic crisis in Central America. The Commission's 1984 report outlined a broad program of support for the region and highlighted the need to deal with the social and economic underpinnings of the political problems. A primary conclusion was that the human resource base must be strengthened to provide an adequate foundation for viable democratic societies and social and economic development. The Commission recommended that 10,000 Central American students be given scholarships for training at U.S. academic and vocational/ technical training institutions. It further recommended that (1) the program encourage participation of young people from all social and economic classes; (2) students receive adequate predeparture preparation in English and remedial academic training; (3) graduates be encouraged to return to their home countries; (4) Central American countries bear some of the cost; and (5) some of the

gf

scholarships be made available to mid-career public servants and university faculty exchanges.

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

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

### 3. CLASP I Project History and Description

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

The CAPS project was authorized in 1985 to provide U.S.-based training for 7,000 Central Americans and subsequently amended to increase the training targets to 12,200. PTIIC, initiated in late FY 1986, provides U.S.-based training for approximately 1,525 people from the Dominican Republic, Jamaica, Haiti, and the Eastern Caribbean Islands. APSP was initiated in 1987 to provide similar training for 1,750 people from Colombia, Peru, Ecuador, and Bolivia. Participant training in four ADCs--Brazil, Mexico, Paraguay, and Colombia--was included in the LAC II authorization in 1985. In 1986, AID moved the funding for CAPS, PTIIC, and APSP from LAC and CA regional accounts to mission bilateral accounts, thus creating bilateral programs under a regional authorization.

CLASP was originally authorized at \$161 million and through a series of amendments gradually increased to \$282.7 million. The final CAPS obligations under CLASP I are scheduled in 1989 and the final APSP

obligations are scheduled for 1990. The PACD's are in 1993 and 1994 respectively to allow adequate time for the long-term participants to complete their studies and return home.

Three Congressional earmarks have been funded under the CLASP umbrella: the Central American Scholarship Program (CASP) which began in 1985; the Cooperative Association of States for Scholars (CASS) which began in 1988; and the Leadership Center of the Americas (LCA) which also began in 1988. The International Student Exchange Program (ISEP) in Georgetown University administers the \$34 million CASP project to train Central Americans in U.S. community colleges. Georgetown also administers the \$7 million CASS project to train 116 Central America and Caribbean youth through a pilot cost-sharing program. CASS is intended to develop the capability of participating U.S. institutions to provide suitable, cost-effective education and training programs for disadvantaged youth. The LCA program, administered by the Consortium for Services to Latin America (CSLA), consists of mid-winter seminars and summer internships in transnational corporations for 200 undergraduate students to establish a Pan American network of potential future leaders.

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

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

The CLASP program has unusual administrative features stemming in part from the combination of regional and bilateral projects under a regional authorization and project design. LAR/DR/EHR established several project support mechanisms to assist missions and contractors in understanding and implementing this new approach to participant training. These mechanisms include a process evaluation, monthly contractor meetings in Washington to discuss implementation problems, and annual CLASP subregional conferences in the field. USAID

11k

field missions were required to develop a Country Training Plan (CTP) with mission-specific objectives to provide a focus for the country program. While all CTPs conform to the overall CLASP goals, each mission was able to determine the most appropriate target groups and types of training for the host country.

Experience to Date. By September 30, 1988, 9,652 CLASP Peace Scholars had initiated training in the U.S. Approximately 26% of the Peace Scholars had been enrolled in long-term training, 41% had been female; and 82% have been socially or economically disadvantaged. By the end of the CLASP program on September 30, 1994, an estimated 17,500 people will have been trained.

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

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

Lessons Learned. These achievements notwithstanding, there are several operational areas in which missions continue to experience difficulties. Most of the problems stemmed from the need to introduce and implement a number of new concepts simultaneously, including the focus on disadvantaged groups, Experience America, follow-on, cost containment, and training cost analysis. The initial 1985 project design, which was concerned with training non-traditional target groups, has been refined by PP amendments and Bureau guidance as experience was gained. Numerical and target group quotas were introduced during project implementation. Some new components, such as Experience America and follow-on programs, were not clearly defined or budgeted and have required continuing supplementary guidance. As a result, some missions have had difficulties in implementing these components and meeting the numerical training targets without sacrificing program quality.

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

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

The implications of these lessons for the CLASP II design are fairly clear. The program should rely on clear and concise objectives rather than numerical targets to guide mission implementation. The Experience America and follow-on components must be explicitly planned, programmed, budgeted and fully integrated into individual and group training plans. In addition, regional oversight and training is needed to assure continuity and adherence to the program concept. The LAC Bureau needs to develop a concise description of what is expected from academic and technical training, Experience America, and Follow-on and distribute it to all missions and training institutions.

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

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

#### 4. Rationale for CLASP II

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

The CLASP II program is designed to have a long-term impact on two factors which are critical to lasting improvement in the economic and social conditions in the region--(1) a stable social, political, and

economic environment that is conducive to economic development; and (2) an educated and skilled population with capable leaders to manage and implement programs and policies.

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

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

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

U.S.-based participant training is a particularly appropriate and effective vehicle for strengthening societal commitment to and understanding of free enterprise and democratic pluralism. Participant training in the U.S. can expose foreign leaders to the values and mechanisms of democratic pluralism, volunteerism, equal opportunity, the free enterprise system, a free press, and respect for human rights. Furthermore, U.S. institutions can provide highly specialized training and practical experience that often cannot be obtained in-country. In addition to the quality of the training, a U.S. education can provide a significant career boost for talented young people, moving them into leadership positions from which they can work for change. Finally, the contacts and relationships established can strengthen cultural, commercial, political, personal, and institutional linkages between the U.S. and its closest neighbors. This combination of exposure to democratic values and institutions and their practical application in economic development, technical skills transfer, and establishment of human and institutional linkages can be a potent force for social and economic change.

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

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

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

The CAPS II program is primarily concentrated in four Central American countries--Costa Rica, El Salvador, Guatemala, and Honduras--which collectively account for about 75% of the total mission (non-AID/W) funding. This concentration of program funding reflects the historical development of the CLASP program, starting with the NBCCA, and the continuing U.S. foreign policy interest in a peaceful transition to democracy the region. Three of the priority target countries have fragile democracies, recently installed in the midst of civil strife, and a long history of military interference in politics. Only Costa Rica has a long history of stable, democratic government with productive, market-based economic policies. These countries have been the focus of U.S. foreign policy in the LAC region for the past decade, with concomitantly high levels of foreign assistance and will continue to be for the foreseeable future. Should U.S. funding levels in the region change drastically during the implementation of the project, the CLASP II funding allocations may be appropriately adjusted to reflect these changes.

Scholarship assistance for Nicaraguan refugees in Costa Rica and Honduras was proposed by USAID/Costa Rica to prepare for the eventual democratic restructuring of Nicaragua if and when political reforms are instituted. The proposal, to provide CAPS or CASP type training for refugees and families of ex-combatants, was not included in this project because no source of funding is available for assistance directed toward Nicaragua. USAID/Costa Rica was directed to consider seeking funds through the Nicaraguan

15<sup>x</sup>

Humanitarian Assistance Act and was advised that scholarship assistance such as that proposed would require Congressional approval. USAID/Costa Rica was also advised that similar refugee programs in South Africa resulted in large numbers of participants failing to return home.

### B. Program Objectives

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

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

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

### C. Program Description

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

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

This section of the Project Paper establishes the program policies and procedures that will be common to all mission projects and the AID/W project. These policies and procedures will be approved by

the AA/LAC and this section will be incorporated in each mission project paper. The program goal and purpose stated above apply to all CLASP II projects in AID/W and field missions. Each country project under the CLASP II program may establish a project-specific purpose if needed, related indicators of achievement, and a five-year CTP to achieve the program objectives. In addition, every CLASP II project will include the following program elements and will conform to the following implementation guidelines. The common program elements are: Peace Scholar recruitment and selection; pre-departure orientation; technical and academic training programs; Experience America activities; follow-on activities; and evaluation.

### 1. Peace Scholar Recruitment and Selection

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

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

The social and economic structures of the LAC countries are highly diverse; therefore no single definition of "disadvantaged" is appropriate for all missions. Under the CLASP I program (CAPS, PTIIC, and APSP projects), all of the participating missions have established working definitions and financial means criteria for selection of disadvantaged Peace Scholars. Missions may continue to use these existing definitions or may choose to refine them, if needed, based on experience or the results of the social- institutional study conducted for this project paper. It should be noted that the intent of the

program is not to provide U.S.-based training opportunities exclusively to the "poorest of the poor", but rather to provide such opportunities to leaders in social and economic groups who would otherwise not have access to such training. Furthermore, socially disadvantaged groups need not also be economically disadvantaged--in some societies, middle income women and/or members of some ethnic groups may have limited economic and political participation.

Whatever the criteria established by the missions, it must be emphasized that the financially and politically privileged will not be sponsored for CLASP II training. While the definition of "privileged" will vary among countries in its specifics, some basic concepts will apply to all missions. The "politically elite" will include the immediate family of all high level elected or appointed government officials and their immediate families with whom A.I.D. or the USG has such mutual interests that the appearance of conflict of interest would be likely. In most countries, this would include ministers of state and their subsecretaries or vice ministers, governors of central banks, heads of political parties, and other sensitive, highly placed individuals. Other USG resources, including the USIS International Visitors Program (IVP) program, are more appropriate mechanisms for sponsoring these individuals. It is emphasized that this criteria should not exclude elected officials at the municipal, provincial, state, or national levels from rural communities, disadvantaged urban areas, and/or those who are personally eligible under the financial means tests. In financial terms, the privileged consist of individuals who could reasonably be expected to finance a U.S. college education using personal or family resources. Individuals from financially privileged families will not be eligible for long-term U.S. training.

Given the nature of the target group, the procedures utilized in each mission to recruit and select Peace Scholars will be crucial in meeting program objectives. While each mission may establish its own administrative mechanism for recruitment and selection, a common element should be the active participation of local communities, institutions, and supervisors in selecting Peace Scholars, establishing training objectives, and planning training programs.

## 2. Training Objectives

The second major element, technical or academic training, is fully as important as Peace Scholar selection to the success of the program. Technical training can include on-the-job training, technical courses at community colleges or universities, short-term technology transfer, or a combination of these. Academic training includes any program at a college or university which will result in a degree. The program emphasis for academic training should be on undergraduate rather than graduate programs. Ph.D. level training is generally inappropriate. Observational tours, seminars, or conferences may be included as a component in either technical or academic programs.

All CLASP II Peace Scholars will attend technical or academic training programs in the U.S. lasting no less than 28 days. At least 20% of the Peace Scholars in each mission will attend long-term training programs of nine months or more. Each mission will establish placement procedures to comply with existing legislation and Agency policy to place at least 10%

of all U.S.- trained participants in historically black colleges and universities (HBCU).

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

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

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

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

Short-term programs must be carefully planned to assure that the skills are relevant and appropriate to the Peace Scholar's situation. Case studies have shown that immediate results and application of knowledge are more likely with short-term Peace Scholars because they, unlike long-term Peace Scholars, are returning to an established position in the community. This also implies that the

community judgement on the value of U.S. training will be relatively immediate. Therefore, it is particularly important that short-term training programs transfer specific technical skills to the Peace Scholars that are immediately applicable in the local community setting. This will be an important factor in enhancing the Peace Scholar's leadership status in the community. In some cases, it may be possible to enhance leadership status through prestige as well as specific skills - for example, a local teacher or principal who represents the country in an important international conference to discuss educational improvement may find his or her status in the community heightened just by participating in the program.

The enhancement of leadership qualities and skills can be combined with either or both of the technical skills transfer and Experience America activities. This objective can be achieved through activities which are appropriate to leadership development in the Peace Scholar's occupation. These activities may include workshops in parliamentary procedures, conflict resolution, managing cooperative and volunteer groups, setting priorities and objectives, improving public speaking skills, developing relations with funding organizations, project planning, management principles, time management, communication skills, career planning, or similar leadership skills as well as advanced technical training in an occupational area. All participants will attend group dynamic leadership training appropriate to the length of the training period.

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

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

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

### 3. Detailed Training Requests

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

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

- 1) Short-term technical training programs will require at least three months advance written notification consisting of a completed PIO/P or training request with all of the information discussed below.
- 2) Long-term technical and academic training require a minimum of six months advance written notification. For advanced acceptance at accredited institutions, full documentation of certified transcripts, letters of recommendation, medical clearances, and other required documentation must be received by the institution three to four months prior to the beginning of the program.

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

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

In addition to the information pertaining to the technical training component, each training request or PIO/P will include full information and clear instructions about Experience America and follow-on activities. The request for the Experience America component should specify the goal and desired content of the activities, relationship of the activities to the technical component and any

relevant background information about the home country situation. The training request should also include any relevant personal information about the Peace Scholar, including interests, hobbies, or special skills, which may be useful in programming appropriate and interesting activities. The section on follow-on should specify the goal and content of expected follow-on activities and explain the relationship to the training component. If follow-on is to be contracted separately, this discussion should be included for information purposes to assist the placement contractor in program planning. (See Annex F for sample model PIO/P's for short-term and long-term programs).

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

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

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

#### 4. Pre-program Orientation

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

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

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

## 5. Experience America

All training programs will include exposure to American life and values, particularly as they relate to democratic institutions, free enterprise, and the development of personal and institutional relationships between Peace Scholars and Americans. Each participating mission will develop appropriate Experience America (EA) activities for each Peace Scholar or group of Peace Scholars which will complement and supplement the technical and leadership skills components. For programming purposes, the EA component will be a formal component of all contracts and training requests and will be fully integrated into the overall training plan.

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

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

In addition to the personal relationships established, the EA activities should illustrate the mechanics of how democratic values and a free enterprise system work together to provide opportunity and development. Each mission will identify particular values or institutions which are particularly relevant in the host country context. Among those that may be appropriate are the following:

- 1) The importance of individual initiative in the U.S. economy and social/political system;
- 2) Volunteerism as a cornerstone of democratic participation at all levels (community, state, and national);
- 3) Social mobility as a result of individual effort and achievement;
- 4) Local community organization and control as the first step in the political process;
- 5) The free market and its interrelationship with democratic institutions and processes;
- 6) The relationship between citizens rights and responsibilities (taxes and voting, etc);
- 7) The melting pot and ethnic diversity as a richness and challenge;
- 8) Social responsibility of the private sector;
- 9) The role of constitutional protection of basic rights in facilitating economic and social participation; and
- 10) Mechanisms for fostering public-private partnerships to address key concerns, such as environmental issues, low-income housing, and economic development.

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

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

It goes without saying that no training program of any length can enable Peace Scholars to experience all of America: the cultural, political, geographical, and institutional diversity of the U.S. is far too vast. Therefore, each mission should identify those areas that are most appropriate or applicable to the host country.

Relevant Experience America activities for one country may not be appropriate for others. For example, the developing democracies of Central and South America may have particular interest in and need for learning about the forms and procedures of institutional interaction in a democratic society. The relationship of local and national government to public opinion and local organizations, the social and economic role of the private sector on all levels, or the functioning of the press are all potential topics of interest. However, in countries with long traditions of democratic government, a more appropriate program might focus on the differences in systems, or the role that progressive private companies can play in social and economic development.

In every case, it is important that the observations and discussions include not only what is done, but why. A focus on the values and principles that underlie democratic pluralism is essential to understanding how the system works. Finally, programs should help Peace Scholars relate their experience in the U.S. with their home country situation. This is most effectively done by emphasizing basic values and approaches rather than the surface differences in wealth or resource levels.

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

A basic component of all follow-on programs will be an institutional mechanism for maintaining contact with returned Peace Scholars. This may consist of an alumni association, periodic reunions organized by USAID or a local PVO, attendance at occasional U.S. community functions, Embassy receptions, a newsletter, maintenance of address lists, or similar tracking activities. An imaginative way of keeping track of former Peace Scholars is being tested in USAID/El Salvador's "Book of the Month Club". This program encourages returned Peace Scholars to maintain their current address on file in order to receive an appropriate technical book each month. Whatever system is used, each mission will maintain some minimal level of effort to assure that all Peace Scholars maintain periodic contact with Americans and other returnees. The CLASP II follow-on activities will be integrated to the maximum extent possible with CLASP I follow-on.

Beyond this basic level, follow-on programs should be designed to meet the needs of returned Peace Scholars. Since each country program will be somewhat unique in terms of the target groups and types of training, no one design for a follow-on program will meet every mission's needs. In general terms, follow-on programs should assist the returned Peace Scholars to overcome obstacles to applying their new skills or should facilitate their exercise of leadership roles in their communities.

Most country projects will include both short-term technical and long-term academic programs in a number of technical fields. Consequently the follow-on programs will include different activities

for each type of Peace Scholar as appropriate. Long-term academic Peace Scholars, for example, may require the services of a job bank or former Peace Scholar networking to find employment in his or her field of expertise. In some countries, specialized assistance in transferring U.S. academic credits for home country accreditation will be necessary.

Most short-term Peace Scholars will already be employed and will therefore require different types of follow-on assistance. Projects may provide materials or even technical assistance to facilitate application of the new knowledge in a host country institution. In some countries, follow-on in-country training may be provided to the Peace Scholar to facilitate acceptance and implementation of new approaches. Some missions have established special funds to finance community improvement projects initiated by returned Peace Scholars, while others have encouraged linkages to appropriate existing mission projects, such as the RTAC book project.

The follow-on programs should be integrated into the overall training request and be consistent with the program objective of enhancing the leadership potential of the Peace Scholars. The follow-on activities should also be concerned with maintaining personal, professional, and institutional relationships with American individuals and institutions as appropriate.

The successful development and implementation of appropriate follow-on activities will require continuous and directed effort. Therefore, each mission will establish a full-time position, financed either with operating expense (OE) or project funds, dedicated to follow-on activities. In some missions with small projects, a part-time position may be adequate. Whenever possible, follow-on programs should be integrated into the activities of participating host country institutions and businesses to provide an institutional base for continuing support after the end of the project. In all cases, the follow-on program must be planned and initiated during project start-up.

## 6. Cost Containment

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

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

Cost containment measures instituted by missions have included cost sharing, negotiated reduced or in-state student tuition, and placement in less expensive colleges and universities. Some missions have focused on reducing program preparation costs by encouraging in-country English language

training or in some cases providing long-term training in Spanish. Conceivably, one of the most effective cost containment measures has been the use of TCA to increase the competitiveness of bids and the missions' ability to analyze them.

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

While cost containment will continue to be an important element of the project, it is a management tool rather than an objective in itself. Missions will keep this distinction in mind to assure that program quality is not sacrificed for cost savings. Missions should continue to emphasize to placement contractors and training institutions that living allowances established in Handbook 10 are not to be reduced for purposes of cost containment without an allowance waiver from OIT. Furthermore, placement in a low-cost training institution is only justified if that institution offers appropriate training in the subject required. The participation of leaders and potential leaders requires that program quality be maintained.

#### 7. Summary of Program Requirements

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

### III. COUNTRY PROJECT DESCRIPTION

#### A. Mission Background and Rationale

The Central America Peace Scholarships Program (CAPS) emerged from a recommendation of the National Bipartite Commission for Central America (NBCCA) that the number of scholarships for training of the citizens of the Central American countries be dramatically increased. The CAPS/Costa Rica program, as a result, sent its first CAPS trainees to the U.S. in June of 1985. Since then over 1500 CAPS participants have received either long or short-term training in the U.S. USAID/Costa Rica expects to exceed its CAPS project target of 1822 participants by one hundred or more.

CAPS/Costa Rica has been successful in meeting a number of Mission and project goals. It has supported Mission strategy and objectives by increasing numbers and improving the effectiveness of participant training, broadening democratic linkages, expanding educational opportunities and spreading the benefits of growth. CAPS/Costa Rica consistently has met and exceeded project benchmarks (70% of participants from socio-economically disadvantaged groups, 40% female participants, 20% in long-term training, 10% of participants trained by Historically Black Colleges and Universities (HBCUs)).

In addition to its effectiveness in supporting Mission strategy and CAPS project goals, the CAPS/Costa Rica program has been successful in its own right. The number of Costa Ricans trained in U.S. technical and/or academic programs has increased dramatically through CAPS. The feedback of the participants themselves indicates a high degree of satisfaction with their training experience, not only from a personal point of view, but professionally as well. Short-term participants report making important changes in their areas of responsibility and being placed in positions to act as change agents, sharing the benefits of their training experience with their professional colleagues. Long-term participants report the value of English language skills, of academic expertise garnered through their studies in U.S. universities, and at their ability to gain employment (although some frustration is inevitable) upon their return. All participants have lauded the "Experience America" component of CAPS, in which they have the opportunity to relate to American families, local community service groups, and leaders at the local level, and to gain a sense of the role of initiative at the individual and local level in the U.S. Of equal importance is their desire to maintain professional contacts with their U.S. counterparts, something that CAPS encourages and promotes through its follow on activities. Developmentally a project sequel to CAPS is justified on the basis of the human resources trained and prepared to contribute to the progress of Costa Rica. That a direct correlation exists between the level and numbers of trained human resources and the developmental level of a country has been documented repeatedly. The economy of Costa Rica has grown and flourished in the decade of the 1980s, due in part to the educational/skills level of its labor force. Projections for the 1990s indicate that a cadre of trained human resources will be equally critical to maintain the level of growth that was seen in the previous decade. CAPS II will contribute directly to enhancing the quality of the Costa Rican human resources base.

Equally important is the political dimension. Costa Rica is Latin America's most vibrant democracy. It is already committed to democratic institutions. A sequel project will build on that base and, like CAPS, expose the participants to the possibilities of action and initiative at the local level in the United States. Democracy is not simply the act of voting every four years, but involves broad based participation in the on-going life of a country at all levels. The opportunity to observe and experience life in the United States at the local level will bring benefits to Costa Rica in terms of the nature and commitment of its people to political and economic democracy. The continual development of a free market economy in Costa Rica will assure that the social and economic justice that has characterized the Costa Rican society for decades will continue to be a strong element of its national fabric.

## **B. Mission Objectives and Strategy**

### **1. Objectives**

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

The Mission Project Purpose is to equip a broad base of real and potential leaders in Costa Rica with technical skills, training, and education, as well as an appreciation and understanding of the workings of a free enterprise economy in a democratic society.

By the end of the project, at least 360 people will have taken part in short term technical training programs in areas such as public administration, natural resources, education and community development. At least 190 people will have undergone long term technical training in the high school program. At least 165 people will have completed university degree programs such as business, engineering, education and agronomy and related fields.

The returned participants will have benefited in terms of having located an appropriate job in their area of expertise or increased responsibilities or higher salary in an existing one. It is expected that they will apply the knowledge and skills learned during their training program in their fields of employ, will be active and influential in community or professional affairs, and that they will maintain professional or personal linkages with their U.S. counterparts. Additionally, it is expected that participants will manifest an appreciation of the different aspects of U.S. life, values, and institutions relevant to their own occupational and social context in Costa Rica.

### **2. Mission Training Strategy**

The Social-Institutional Framework (SIF Annex K) has identified the education, natural resources, local public and community action, and the private sectors as target groups for training under CLASP II. These findings/recommendations are consistent with Mission priorities to provide assistance to these sectors. The following briefly describes those sectors and why they are important for this Project.

29\*

a. Education

USAID/Costa Rica has provided consistent support to the education sector under CAPS, through the Ministry of Education, by developing projects involving various groups of educators. English Teachers, Secondary and Primary School Principals, Rural Multigrade classroom teachers, and local rural school boards have been the beneficiaries of short-term training groups under CAPS. In addition the higher education sector has participated in such groups as Administrative and Regional University leaders, Rural Agroindustrial Teachers, and Student Leaders.

Support to the education sector is consistent with Mission strategy and priorities. Education is a high priority for the Government of Costa Rica (GOCR) and is recognized widely as a fundamental condition for the support of sustained economic and social development. Of equal importance, teachers and educational administrators are perceived by their communities as leaders, both on the basis of their own education but also by virtue of their work with youth. This is especially true in rural areas. Teachers and school administrators contribute to the development of democratic values in their students, an important goal for CAPS II, and the influence of these public servants is undeniable. An average elementary teacher may work with as many as 800-1000 students over the course of a 20-year career. A high school teacher, who teaches more students per day than an elementary teacher counterpart, may reach several times that number. With over 300 educators having been trained under CAPS, their influence on the values of the younger generation, simply on the virtues of the total number of students they teach, is indeed impressive.

b. Natural Resources

Managing and Preserving Natural Resources is an important element of the Mission program. The FORESTA and BOSCOA projects are illustrative of the Mission commitment to the wise use and preservation of the natural resources of Costa Rica. In prior years the Training Division has initiated two short term groups in this area: the Guayabo Project and Rural Municipal Leaders (whose training emphasized preservation of ecological areas at the local level). Additionally, many long term participants study forestry, agronomy, and/or related fields at the Bachelor and Masters levels in U.S. universities.

Preservation of natural resources is a high priority for GOCR. The Costa Rican National Park system along with forest reserves and buffer zones covers 27% of the total national territory, the highest percentage of any country in the world. Costa Rica has used these natural areas as tourist attractions and has reaped great benefits from the thousands of tourists who visit the country annually. However, the balance between conservation needs and social/economic needs is delicate, requiring careful interventions in order to maintain the former while addressing the latter.

Both short-term and long-term participants under CAPS II will study natural resources management. Short-term groups will be organized from among those individuals, institutions, or organizations currently working in the "enlightened exploitation" of natural areas, for example, forest rangers,

ecotourist guides, and high school science teachers. Long-term participants will include students at the undergraduate or graduate levels who would major in agronomy, forestry, or related areas, and return to Costa Rica with a U.S. degree. The Mission will expect both short and long-term returnees to play an important role in promoting the wise use of the country's natural resources, including sharing the knowledge and skills acquired in their U.S. training programs with colleagues.

c. Local Public Sector

Municipal governments are responsible for addressing important local problems. Frequently they are constrained by a lack of financial and other resources with which to implement their projects. In Costa Rica, as in many other countries of Latin America, power is concentrated in a strong central government. Local governments depend on the largesse of the central government to provide the required resources for them to work effectively. Costa Rica is aware of the need to provide more resources to local governments, but this awareness has not yet been translated into government policy or law. Until that time and even beyond, local governments will need to continue to rely on their own communities to support projects.

CAPS II, consistent with Mission policy to support decentralization efforts of the GOCR, will organize short-term groups for local municipal leaders. The experience of CAPS has shown that local officials in Costa Rica face many of the same problems as their U.S. counterparts: solid waste management and disposal, clean water sources, administration and planning are a few examples. CAPS II plans to send one group of municipal leaders each year, a total of five groups over the life of project.

d. Community Action/Participation

A variety of community development organizations exist throughout Costa Rica. Most function at the local level and play roles of major importance in the development of their communities and areas. CAPS has recognized this importance and has mounted many short-term groups in this broad sector. Rural firemen, community development leaders, and communal banks are examples of groups that have been organized and sent to the U.S. under CAPS.

Many of these groups will continue under CAPS II. The community development leaders and communal banks leaders are a primary target group, given their level of involvement in their respective communities and the potential benefits of their participation. It is not likely that CAPS II will continue to send rural firemen. The success of this group notwithstanding, CAPS sent four such groups to the U.S. and it appears that a "critical mass" of trained manpower is already making an impact on their profession and on the country.

e. Private Sector

The dramatic growth of exports, especially in the area of non-traditional products, has had a major impact on the economy of Costa Rica. Economic stabilization and stimulation of economic growth are important goals of the Mission portfolio. USAID/Costa Rica currently funds a major project

through the Private Sector office to stimulate export development through the local organization, CINDE, an important component of which is funding of short and long-term training in the export development area.

These efforts will be complemented by CAPS II. Indeed, CAPS I is already involved in this important area. Many long-term participants are studying business administration, international finance, international law, economics, and similar fields which impact on the development of the private sector and export promotion. Projections of the priority areas of study, as described in the SIF, include agricultural production and agro-industry, natural resources management, computer science and related high technology areas, industrial management and production, and engineering. CAPS II will continue to seek qualified candidates in these areas.

### C. Project Activities

#### 1. Key definitions

Before describing specific project activities, it is well to describe the context within which they will take place. Accordingly, guidelines of the project underscore the emphasis on the socio-economically disadvantaged (70% project target), women (40% target), real and potential leaders, and a careful evaluation of those candidates who might be considered "elite." While concepts such as socio-economically disadvantaged, leaders, and elite defy precise definitions, operationally they can be described through a series of independent measures. The following discussion will address these concepts.

#### Socio-economically disadvantaged

For purposes of CAPS II, this concept will be "measured" using a array of variables. As described in the SIF, members of this group are not simply those with low family incomes; socio-economically disadvantaged is not simply being poor. Family income, of course, is one component of this concept. Others include the place of residence, especially relative to access to educational opportunities; the number of children and/or persons living in the household; whether the house itself is owned or rented; educational level of the parents; education and/or career track of siblings; is it an upwardly mobile family or is it stagnant?

Family income levels are potentially misleading and will be examined with care. The monthly income level guideline will change each year, consistent with the effects of inflation and devaluation of the Costa Rican Colon. As an imperfect but nonetheless useful procedure, CAPS II will consult with the Housing advisors in the Mission to determine the economic profile of Costa Rica in terms of eligibility by income level for different kinds of housing. Additionally, Consultoria Interdisciplinaria en Desarrollo (CID), the research group that wrote the SIF, will be queried annually for an update of its family income figures.

Occasionally an applicant will report a family income in excess of our guideline. If the person has the personal attributes that

## 1. Short-Term Technical Training

### a. Target Groups

Approximately 5 short term groups per year will be selected and trained under CAPS II. As per the SIF and Mission priorities, target areas for short-term training will focus on economic, governmental, and social organizations at the local level. This will provide a balanced contrast to the long-term academic component, which will more fully develop specialized skills in the project participants.

The short-term component of CAPS/CAPS II is essentially an in-service, adult education program. In contrast to the long-term academic program, the short-term returnees have the opportunity to apply the lessons of their training upon their return. Thus, the impact of short-term training is much more immediate than long-term. This is a well-known phenomenon in adult education in the U.S. and our experience in Costa Rica has confirmed that it applies here as well. It is therefore appropriate that the short-term program focus on the local levels, where the potential for maximum spread effect is the greatest. The local level is the most propitious for this focus, for at this level bureaucratic constraints are fewer and the participants are directly involved in planning, organizing, and implementing the solutions to their communities' problems.

The SIF identified community development associations as the most frequently recognized category of organization by the local leaders interviewed. CAPS has had a successful history of short-term training of community development associations, and we have observed that the spread effect of their U.S. training has been impressive. Therefore, CAPS II will send at least one group per year from this sector.

A second important target group is communal banks. These are banks which are organized and operated by members of local rural communities. Each communal bank is a legally established entity with its own by-laws and board of directors. It functions as a commercial bank, receiving savings deposits and awarding small loans to its depositors. Therefore, the banks provide an incentive to save and are a source of capital for individual economic development projects. CAPS II will send several groups of trainees from this target area to the U.S. for 8-week training programs in accounting methods, project feasibility, monitoring and evaluation, and planning skills.

Another target group will be Municipal Leaders. Municipal governments face a variety of problems and suffer from a dearth of resources, like their counterparts in many countries. The democratic pluralism goal of CAPS II suggests an emphasis on the political process at the local level. Municipal leaders are in a position to play a key role in this process. U.S. training will expose these leaders to different ways of addressing the problems.

Teachers and school administrators, as educated people in their own right, play a leadership role in their communities. As a long-range factor in the resolution of many national problems, education is key to the continual development of the country. CAPS II will send at least one short-term group per year in this sector.

The remaining short term groups will be selected from among the unsolicited proposals that the Mission receives from interested intermediary organizations. The experience of CAPS has shown that many worthy proposals are received which are consistent with the project and with Mission priority areas. Sufficient flexibility will be maintained in CAPS II to permit the consideration of worthy unsolicited proposals for short-term training.

b. Recruitment/Selection Procedures

As in CAPS, the short-term component under CAPS II will be implemented through Costa Rican intermediary institutions. Our experience has been that the participation of the intermediaries in program design, selection, and administrative areas results in a more relevant program technically and an important context for the target area itself.

The intermediaries assist in the recruitment/selection of participants. For an average short-term group of 20, intermediaries are asked to provide 40-50 applicants who qualify under CAPS selection criteria and who are key to the intermediaries' own priorities. These are presented to the Mission, which does a final selection. Retaining final selection in the Mission assures that all candidates fall within project selection criteria. Where appropriate, selected candidates are interviewed by a committee of representatives of the intermediary and the Mission.

The criteria for selection reflects CAPS II guidelines, as well as the Mission's own experience and the recommendations of the SIF. Under CAPS II, "Leadership" is the most important single criterion for selection, and our selection procedures will reflect this priority. In the case of short-term groups, in which the applicants in most cases will be working adults, we will evaluate the extent to which each plays an actual leadership role in his/her community. This will be measured by such variables as:

- Is the candidate well known in the community?
- Is he/she well informed about and involved in community problems?
- Does he/she represent others in community deliberations?
- Do others seek this person for advice or counsel?
- Is he/she charismatic? A good speaker? A problem solver?
- Position in the target group.

These criteria can be verified through the intermediary (numbers 1,3,4), by an interview (numbers 2,3,4), through an appropriate essay question on the application (number 2), and through contacts with other leaders of the community (numbers 1,2,3,4).

The applicants' socio-economic status and subsequent categorization as "disadvantaged" will be based on a series of variables, most of which have been discussed in this section. Most of the information on socio-economic status is obtained from the application, with random verification with the intermediary or others who know the candidate. Criteria will include:

- Place of residence; whether the home is owned or rented.

34\*

- Level of education completed.
- Personal and family income.
- Education level and occupation of parents.

c. Types of training

Typically a short-term group program of 8-weeks duration includes one week of orientation in Washington, D.C. at the Washington International Center or similar kind of "visitors' center;" one week of technical/cultural training on the campus of an Historically Black College/University (HBCU); and six weeks of technical/cultural training at the site of the main contractor.

During this week the participants are introduced to the culture of the country and the expectations of the program, but they also "play tourist," visiting the museums, monuments, and exhibits for which Washington is famous. Although tours are not normally considered part of the Experience America component, a week in Washington has an unmistakable effect on the participants and sets in a national framework the activities of the succeeding weeks.

The technical component is the core of the short-term program. Contractors are selected in a "limited competition" process which under CAPS was the responsibility of Partners for International Education and Training (PIET). PIET solicited proposals from as many as five potential training institutions, reviewed the proposals and made a recommendation to the Mission. The Mission also received the proposals themselves, so we were able to read them and compare our evaluation to that of PIET.

The technical objectives of each short-term group are derived from dialogue with the intermediary organization in Costa Rica. The Mission believes that the intermediary is in the best position to determine the areas and kinds of training which will advance its objectives and be of greatest professional benefit to the participants. Our experience with CAPS has borne this out, and the Mission does not set or change the objectives of any short-term group without consulting first with the intermediary.

Both the major contractor and the HBCU sub-contractor deliver technical training. The role of the HBCU in CAPS/Costa Rica has evolved from one of cultural/historical instruction into one of technical partnership with the major contractor. The Mission views the HBCUs as not only complementing the training of the major contractor, but also providing a unique dimension and ambience for doing so.

Typically, the six-week component will include considerable and substantive contact with their North American professional counterparts, both at the professional and personal levels. Home stays, in which participants actually live with U.S. host families for an established number of days, is a part of the Experience America component, but supports the technical aspect of training as well. Where possible, participants are placed in the homes of their professional counterparts, thereby enhancing and deepening both the cultural and the technical objectives of the program. Participants are encouraged to establish a network with their counterparts as a means of achieving continual professional and personal communication after their return to Costa Rica. The experience

of CAPS has shown that where relationships are established with professional counterparts on a technical level, and not simply on the personal level, a greater potential for continual communication beyond the duration of the program exists.

d. Predeparture Preparation

All short-term groups receive approximately three weeks of predeparture training. Two weeks are dedicated to "survival English" and cultrual orientation, delivered by local institutions contracted with the Mission specifically for that purpose. The third week includes Mission admininstrative orientation, including a discussion of the objective of the program and trainee expectations.

The experience of CAPS has indicated that some preparation to the training program prior to departure is important. The sub-contractor comes to Costa Rica and participates actively in this exercise, which can take up to three hours. Participants have many questions about the area of the country they will visit, the training itself, the homestays, expectations of them as guests, their expectations of their hosts...the list is almost endless. The Mission has found that the contractor is the ideal leader of this discussion. The contractor is best able to discuss the program with all its ramifications, address the problem of program goals vs. trainee expectations, discuss cultural issues, etc. The Mission also has invited the HBCU subcontractor to visit Costa Rica for this week of predeparture orientation, a practice which has resulted in a much closer integration of the HBCU component into the overall program. Predeparture oerientation will continue in the CAPS II program, along with the two week survival English program.

e. Experience America

The Mission experience with CAPS clearly indicates that the most effective Experience America activities are those most closely linked with the trainees' own occupation or vocational interest. Accordingly, Experience America activities under CAPS II will be designed specifically to achieve the highest degree of linkage with the technical component of the program. Naturally, these will vary with the nature of the group, but in all cases they will be designed to emphasize key values or ideals that are of particular relevance for the target group. For example, all groups will meet with their professional counterparts and will visit the appropriate facilities and installations (for example, schools, municipal buildings and/or waste disposal sites, health centers) to gain a sense of the institutions which work at the local level. Homestays are an integral part of Experience America, and contractors will be instructed to place trainees in the homes of their U.S. professional counterparts, where possible.

f. Follow-on

The Mission believes that Experience America can continue to be relevant even after the trainees have returned to Costa Rica. Trainees will be encouraged to maintain communication with their U.S. counterparts as a means of sharing technical information and keeping up to date with the most recent developments in their areas. This will be especially relevant for those trainees who had homestays with professional counterparts.

The follow-on program under CAPS II will build on the activities initiated under CAPS: an annual meeting of returned trainees, a three-day technical workshop delivered by the U.S. contractor approximately 4-6 months after the respective group's return, a formal Mission evaluation session with each group, and involvement in the network of CAPS/CAPS II returnees.

g. Cost Containment

The Mission will achieve cost containment in the short-term program through the "repeat groups," as described above. Through a contractor the Mission will identify a training provider who will be responsible to the technical and cultural program of the given group for a multi-year period. In other words, a sub-contractor will be identified who will train, for example, one Municipal Leaders group per year for five years. The Mission expects that cost savings will be realized through the use of a common technical curriculum (eliminating the need to rewrite the program each year), through the repeated use of auxiliary support subcontractors, and through strategies that have been successful under CAPS, such as, negotiating airfares with the airlines that serve Costa Rica.

3. Long Term Technical Training

a. Overview

The long-term technical training component of CAPS II is the high school program. Under CAPS the high school program has been popular, successful, and cost-effective. It is implemented through a cooperative agreement with the National Foundation of 4-S Clubs in Costa Rica (FUNAC), in collaboration with the National 4-H Council in the U.S. Students are selected from amongst the target secondary schools in Costa Rica, apply formally to the program through their schools, are interviewed, and finally are selected. The ages of participants range from 15 to 18, but regardless of their age, all must return to Costa Rica to complete at least one more year in their high school. This is important to the objectives of CAPS II, for returned participants are effective change agents in their schools and communities and provide positive publicity for the program.

b. Target Groups

There are approximately 400 secondary institutions in Costa Rica. Each year FUNAC identifies 100 of them for participation in the high school program. As with the other components of CAPS II, the ideal high school candidate will come from a socio-economically disadvantaged group, will have a satisfactory academic record, and will be active in his/her school and community affairs. Real and potential leadership qualities will be assessed through the degree of participation of the candidate in school politics, sports, and social areas, and in his/her sensitivity for identifying and working to resolve community problems.



c. Selection Procedures and Criteria

As with CAPS, selection of the high school trainees will be a collaborative effort between FUNAC and the Mission. FUNAC will recruit and identify promising candidates from the target schools, will review their application, and will carry out interviews of all viable candidates. FUNAC will provide to the Mission the applications of those candidates that "pass" each of these steps. The Mission will review the applications and make a final selection of recipients and alternates. Where deemed necessary, for example, in cases where a candidate qualifies in all respects but is younger than most other candidates, the Mission will do interview.

d. Types of Training

Following an eight-week predeparture course covering English language and cross-cultural skills, trainees will spend a total of nine months in the United States. As with all CAPS and CAPS II groups, they will spend their first week in Washington, D.C., in an orientation program implemented by the National 4-H Council. They will visit the important governmental and cultural places of interest in Washington and will attend sports or cultural events, as appropriate.

Following the week in Washington, trainees will travel with the designated state coordinators to their respective states, where they will be placed with volunteer host families. The advantage of working with 4-H is the extensive nation-wide network of volunteers that can be mobilized for this program.

In September the trainees enter the local high school and are full-time students taking the normal academic load. Even though their English language skills are limited, the experience of CAPS has demonstrated that the trainees not only are able to do the work, but many distinguish themselves academically. The students remain in school through the following month of February, at which time they return to Washington for a week of debriefing at the National 4-H Council. They return to Costa Rica in early March.

The Ministry of Education has agreed to recognize the studies of the trainees while in the United States, provided that they study for at least one month in their Costa Rican school before joining the program (the Costa Rican school year runs from March to November), pass their courses in the United States, and return in March to begin the new (and for many their final) school year in Costa Rica. Therefore, in order to take advantage of this facility, the trainees do not complete the academic year in the United States, leaving their host schools at the end of February.

e. Predeparture Preparation

Trainees receive an eight-week course prior to departure, which includes English language skills, cross-cultural sensitivity, and lecture/discussions delivered by prominent Costa Ricans in the public and private sectors. The course is in a "camp-type" setting; trainees live at the course site and take all their meals there as well.

In addition to the eight-week course, the Mission

conducts its own orientation, which covers topics such as the history and role of USAID in Costa Rica, the CAPS program, and administrative information of use to the trainees (for example, the flight itself, customs in the United States, emergency phone numbers, etc.).

f. Experience America

The high school program is Experience America itself. For nine months the trainees live, work, and participate in activities that give them direct contact with the values, habits, and motivations of Americans. Most of them live in small to medium size communities, thereby deriving an intimate sense of initiatives and action at the local level. Many will work on projects during the summer and exhibit in state and county fairs; others will accompany their host families to civic, church, and cultural events. Living with families for an extended period of time will provide them with unique insights into the dynamic of the American family.

g. Follow-On

As part of the cooperative agreement with FUNAC, the high school trainees become part of a network of high school returnees. FUNAC organizes an annual meeting for all returnees, as well as regional meetings to establish and solidify the returnee network. In addition, Mission follow-on activities include the high school returnees, where possible. The Mission sponsors a full-day evaluation session following their return to Costa Rica. They are invited as well to the Mission-sponsored annual meetings of CAPS returnees. Obviously, the interests of high school returnees do not completely coincide with those of adult returnees; still, the experience of CAPS has indicated that high school students can and do play an important role in their communities, and linking them with their adult CAPS colleagues provides a valuable dimension to the development projects that the CAPS returnees decide to promote.

h. Cost Containment

The high school program is cost-beneficial. Working through established organizations with extensive volunteer networks has resulted in considerable cost savings to the program. Volunteer host families provide room and board to the trainees at no or very low cost. Group air travel costs are negotiated with the airlines that serve Costa Rica, and to the extent possible, these same airlines are used within the United States. Administrative costs are carefully reviewed and negotiated with FUNAC and 4-H. The administrative cost of this program under CAPS typically has been in the 15-20% range, a relatively low figure.

4. Long Term Academic Training

a. Target Groups

As per the SIF, the Mission will target for long-term academic training under CAPS II those individuals who exhibit real or potential leadership skills, come from the lower 60 % of the population in terms of monthly family income, and are socially disadvantaged. The latter will be "measured" by a set of criteria which include education level and occupation of the parents,

the place of residence, and the number of persons in the household. An illustrative candidate worksheet is found in appendix C of the SIF. As with CAPS, CAPS II will have a target of 40% women participants.

b. Recruitment Procedures

Under CAPS a variety of recruitment procedures were employed to identify viable candidates. Advertisements in the newspapers, posters and brochures made available to the public generally and to student groups specifically, and recruitment visits to university campuses to talk about the program and to solicit the assistance of the universities in identifying good candidates. Under CAPS II these media will continue to be used. Additionally, the Mission will take advantage of its network of CAPS returnees, Peace Corps Volunteers, and intermediaries to identify candidates which might not otherwise be aware of the program.

c. Selection Procedures and Criteria

The Mission will follow the same procedures and employ the same criteria for selection of CAPS II trainees as with CAPS. A preapplication will be screened and the complete application will be provided to those candidates who fulfill the basic requirements of the program. Completed applications in turn will be reviewed by a Mission committee of three, each of whom will evaluate each application independently. Those candidates who pass this stage will be invited to an interview. An interview panel of at least three persons -- one member of the Mission, one outside expert in the intended field of study, and one CAPS returnee -- independently will evaluate the candidate. Of special interest in the interview stage will be the ability of the candidate to articulate the importance of his/her field to the development of Costa Rica. Final selection of trainees and alternates will be made on the basis of the interview.

d. Types of Training

All long-term academic trainees will have had at least three years of university studies in Costa Rica at the undergraduate level (for candidates for the BA/BS degree), or completed a BA/BS or Licenciatura (for Masters candidates). Therefore, following completion of English language training, trainees will enroll in academic programs in U.S. colleges and universities for a period of two years. It is expected that most long-term trainees will complete their degrees within the two-year period; however, experience has shown that a certain number of trainees, frequently those required to do original laboratory research for their theses, will require extensions.

e. Predeparture Preparation

Trainees will receive predeparture cultural and administrative orientation conducted by the Mission. Additionally, they will receive a short intensive course in English language skills, not to exceed 4 weeks, prior to entry into English programs in the U.S. The Mission has noted the dramatic increase of the cost of providing ELT in Costa Rica as compared with the United States, to the point that it is no longer cost-beneficial to conduct an ELT program in country.

40+

However, it is important that trainees have some basic English skills when they leave Costa Rica to make their transition to life in the U.S. less traumatic.

Both in their ELT programs and during academic studies, trainees will participate in Experience America activities. Experience America for long-term trainees will include homestays, involvement with their American professional counterparts, participation in activities of local service clubs, churches, PTAs, and other public service organizations, and attendance at cultural events of interest.

The Experience America component will emphasize the phenomenon of initiative at the local level as a cornerstone of progress and development of the country as a whole.

g. Follow-on

Long-term trainees will be encouraged to maintain their ties established during their studies with American professional counterparts. Additionally, a seminar will be held in Costa Rica approximately six months after their return to review and discuss the problems of re-entry, the job search, and other pertinent topics. They will be invited to the annual meeting of returned CAPS scholars and will become part of the network of returned trainees. Certain returnees will be invited to participate in the selection process by serving as interviewers of candidates.

h. Cost Containment

The experience of CAPS has shown that cost containment can be achieved through various means, including carefully budgeted ELT programs, negotiated airfares, group placement in exchange for reduced tuition rates, selection of universities in low-to-mid cost areas, and careful monitoring of the trainees' programs to control non-essential expenses. The Mission will continue its commitment to cost containment in CAPS II. The Mission is considering awarding a contract for the management of the long-term program; one of the important variables in the decision will be cost containment recommendations and ideas, as well as the proposed levels of program and administrative expenses.

#### IV. FINANCIAL PLAN AND ANALYSIS

##### A. Financial Analysis

The financial viability of any project involving Latin American countries must take into account their precarious financial situations. Most LAC countries have suffered from severe and recurrent budgetary problems. Many capital expenditures have been financed through foreign grants or loans. Some countries have been unable to meet operating expenses and/or debt payments.

The underlying design of this Project reflects the financial realities of Costa Rica and the need to avoid the unnecessary expense of establishing in-country training capabilities for very small select target groups. CAPS II also attempts to lower overall training costs by designing innovative and cost effective training programs.

CAPS II has been designed not only to minimize long-term financial requirements for host governments, but also to delay any future budgetary impacts on participating governments until well after the Project is completed. The project LOP funding to be provided by A.I.D is \$15.0 million. The first year budget is approximately \$3.8 million, of which only \$2.0 million will be obligated initially. It is expected that the balance will be incrementally added to the project subject to AID's availability of funds. A.I.D. dollar funds will be used to pay tuition costs, maintenance allowances, laboratory and other fees, and U.S. travel. As described in the attached budget, part of the dollar grant will be converted to Local Currency which will be used for international travel, family maintenance where applicable, in country English language training, and predeparture expenses.

No counterpart local currency will be specifically provided for CAPS II. However, of the counterpart of 3.1 million in local currency which was programmed from ESR VIII local currency generations for use in the CAPS I program, it is anticipated that a small portion of these funds will not be expended under CAPS I. Any of this local currency not expended for CAPS I will be used for financing local currency costs under CAPS II. Local currency costs anticipated would include predeparture expenses (including English language training where appropriate), air fares, program evaluations, and miscellaneous/contingency expenses.

42\*

**TABLE A  
COUNTRY PROJECT BUDGET EXPENDITURES SUMMARY BY YEAR  
(\$000)**

	YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		TOTAL	
	Cost	Number	Cost	Number								
SHORT TERM TECHNICAL	921.6	100	921.7	100	372.8	40	555.4	60	555.4	60	3,326.8	360
LONG TERM TECHNICAL (HIGH SCHOOL)	712.5	60	663.7	50	568.6	40	411.9	25	303.9	15	2,660.6	190
LONG TERM ACADEMIC	2,079.6	40	1,901.1	35	1,926.1	35	1,685.6	30	1,210.1	21	8,802.6	161
TRAINING COSTS	3,713.7	200	3,486.5		2,867.5	115	2,652.9	115	2,069.4	96	14,790.0	711
AUDITS	42.0		42.0		42.0		42.0		42.0		210.0	
TOTAL COSTS	3,755.7	200	3,528.5		2,909.5	115	2,694.9	115	2,111.4	96	15,000.0	711

63

- 1) Short-term technical training costs are estimated at \$4,600 per training month, including \$1340/mo. tuition, \$150 predeparture expenses, \$820/mo. administrative, \$500 Experience America, and \$150 follow-on. The average participant is estimated to spend 2 months in the U.S.
- 2) Long-term technical training costs are estimated at \$1600 per training month, including \$280 tuition, \$150 pre departure expenses, \$360/mo. administrative, \$500 Experience America, and \$100 follow-on.
- 3) Academic training costs are estimated at \$1800 per training month, including \$390/mo. tuition, \$300 pre departure expenses, \$210/mo. administrative, \$500 Experience America, and \$200 follow-on.

Table B shows the total project costs by category and currency of financing. Given that the funds for the project are from ESF programs the 25% counterpart requirement is not necessary. Nevertheless, 3.1 million in local currency will be provided by the GOCR during the life of Project.

From total funding of \$15.0 million, \$1.8 million will be provided in local currency equivalent, for costs to be incurred in-country, as shown in Table B.

44\*

**TABLE B  
DETAILED PROJECT BUDGET BY YEAR**

	YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		TOTAL	
	\$	\$ in LC equiv.	\$	\$ in LC equiv.								
<b>- SHORT TERM TECHNICAL -</b>												
A-EDUC/TRAIN COSTS	268,000		268,000		107,200		160,800		160,800		964,800	
B-ALLOWANCES	194,400		194,400		77,760		116,640		116,640		699,840	
C-TRAVEL		118,000		118,000		47,690		70,800		70,800		425,290
D-INSURANCES	6,800		6,800		2,720		4,080		4,080		24,480	
E-SUPPLEMENTAL ACT.	97,500	75,000	97,500	75,000	39,000	30,000	58,500	45,000	58,500	45,000	351,000	270,000
ACADEMIC COSTS	566,700	193,000	566,700	193,000	226,680	77,690	340,020	115,800	340,020	115,800	2,039,000	695,290
ADMINISTRATIVE COSTS	161,955		161,955		68,382		99,573		99,573		591,438	
<b>TOTAL COSTS</b>	<b>728,655</b>	<b>193,000</b>	<b>728,655</b>	<b>193,000</b>	<b>295,062</b>	<b>77,690</b>	<b>439,593</b>	<b>115,800</b>	<b>439,593</b>	<b>115,800</b>	<b>2,630,438</b>	<b>695,290</b>
<b>- LONG TERM TECHNICAL (HIGH SCHOOL) -</b>												
A-EDUC/TRAIN COSTS	122,000		121,250		113,320		74,275		46,860		477,705	
B-ALLOWANCES	91,500		84,250		70,680		46,250		29,235		321,915	
C-TRAVEL		69,000		63,250		53,120		34,875		21,960		242,205
D-INSURANCES	29,460		25,700		21,040		13,450		8,250		97,900	
E-SUPPLEMENTAL ACT.	90,000	169,000	96,500	140,000	84,200	112,000	63,500	70,000	42,090	42,000	376,290	532,000
ACADEMIC COSTS	332,960	237,000	327,700	203,250	289,240	165,120	197,475	104,875	126,435	63,960	1,273,810	774,205
ADMINISTRATIVE COSTS	142,490		132,740		114,230		109,575		113,547		612,582	
<b>TOTAL COSTS</b>	<b>475,450</b>	<b>237,000</b>	<b>460,440</b>	<b>203,250</b>	<b>403,470</b>	<b>165,120</b>	<b>307,050</b>	<b>104,875</b>	<b>239,982</b>	<b>63,960</b>	<b>1,886,392</b>	<b>774,205</b>

TABLE B - CONTINUATION

	YEAR 1*		YEAR 2		YEAR 3		YEAR 4		YEAR 5		TOTAL	
	\$	\$ in LC equiv.	\$	\$ in LC equiv.								
<b>- LONG TERM ACADEMIC -</b>												
A-EDUC/TRAIN COSTS	480,000		420,000		420,000		360,000		252,000		1,932,000	
B-ALLOWANCES	1,136,900		994,525		994,525		852,450		596,715		4,574,815	
C-TRAVEL		55,200		48,300		48,300		41,400		28,980		222,180
D-INSURANCES	42,160		36,890		36,890		31,620		26,350		173,910	
E-SUPPLEMENTAL ACT.	200,020	12,000	173,268	10,500	173,268	10,500	148,515	9,000	105,750	4,500	800,820	46,500
ACADEMIC COSTS	1,858,780	67,200	1,624,683	58,800	1,624,683	58,800	1,392,585	50,400	980,815	33,480	7,481,545	268,680
ADMINISTRATIVE COSTS	153,630		217,630		242,630		242,630		195,810		1,052,330	
TOTAL COSTS	2,012,410	67,200	1,842,313	58,800	1,867,313	58,800	1,635,215	50,400	1,176,625	33,480	8,533,875	268,680
<b>- TOTAL TRAINING COSTS -</b>												
A-EDUC/TRAIN COSTS	870,000		809,250		640,520		595,075		459,660		3,374,505	
B-ALLOWANCES	1,422,500		1,273,175		1,142,965		1,015,340		742,590		5,596,570	
C-TRAVEL		242,200		229,550		149,110		147,075		121,740		859,675
D-INSURANCES	78,420		69,390		60,650		49,150		38,680		296,290	
E-SUPPLEMENTAL ACT.	387,520	255,000	367,268	225,500	296,468	152,500	270,515	124,000	206,340	91,500	1,528,110	848,500
ACADEMIC COSTS	2,758,440	497,200	2,519,083	455,050	2,140,603	301,610	1,930,080	271,075	1,447,270	213,240	10,795,475	1,738,175
ADMINISTRATIVE COSTS	458,075		512,325		425,242		451,778		408,930		2,256,350	
TOTAL TRAINING COSTS	3,216,515	497,200	3,031,408	455,050	2,565,845	301,610	2,381,858	271,075	1,856,200	213,240	13,051,825	1,738,175
- AUDITS -	42,000		42,000		42,000		42,000		42,000		210,000	
- TOTAL COSTS -	3,258,515	497,200	3,073,408	455,050	2,607,845	301,610	2,423,858	271,075	1,898,200	213,240	13,261,825	1,738,175

\* For the initial obligation the budgeted estimates are as follows: Short Term Technical - \$360,000; Long Term Technical - \$800,000; and Long Term Academic - \$840,000.

46x

**B. Methods of Implementation and Financing**

Table C presents a chart with the implementation and financing methods to be used in the Project. All proposed financing methods to be used in the Project are preferred methods.

For Short Term Technical Training two thirds of the amount will be channeled through a private contractor, and the remaining third will be channeled directly through PIET. Participants handled by the contractor will have all of their costs covered under the contract. In the case of participants handled through PIET, a PIO/P will be prepared for each participant or group of participants.

For Long Term Technical Training a Cooperative Agreement will be signed with FUNAC, such as the one signed with them under CAPS, which will be responsible for the total amount of the high school training.

For Long Term Academic Training all the activities will be managed through a private contractor, which will be responsible for all aspects of the long term training. Participants will have all their costs covered under the contract.

We are assuming that we will be conducting audits every two years, each one of these being an audit unit (i.e.: the number of units will be the number of years divided by two) on the main two contracts (for Short Term Technical and Long Term Academic training) and the Cooperative Agreement for the Long Term Technical training, all of which are over \$2.0 Million; so we estimate \$20,000 per audit every two years. Assuming that the LOP is 7 years, our audit budget is \$210,000.

---

**AUDIT BUDGET**

	<b>CONTRACT AMOUNT</b>	<b>AUDIT UNITS</b>	<b>AMOUNT PER UNIT</b>	<b>AUDIT AMOUNT</b>
<b>1- SHORT TERM TECHNICAL -</b>				
Private Contractor	2,217,899	3.5	20,000	70,000
<b>2- LONG TERM TECHNICAL (HIGH SCHOOL) -</b>				
Private Contractor	2,660,597	3.5	20,000	70,000
<b>3- LONG TERM ACADEMIC -</b>				
Private Contractor	8,802,555	3.5	20,000	70,000
<b>TOTAL</b>		<b>3.5</b>	<b>60,000</b>	<b>210,000</b>

---

**TABLE C: IMPLEMENTATION AND FINANCING METHODS**

ITEM DESCRIPTION	IMPLEM. METHOD	FINANCING METHOD	HC/AID	HOST COUNTRY IMPLEM. AGENCY	APPROX. AMT. (U.S. \$)
<b>1- SHORT TERM TECHNICAL -</b>					
Private Contractor Through PIET	AID/DIRECT CONTRACT	DIRECT PAYMENT	AID	N/A	2,217,899
	PIO/P	DIRECT PAYMENT	AID	N/A	1,108,949
SUB-TOTAL					3,326,848
<b>2- LONG TERM TECHNICAL (HIGH SCHOOL) -</b>					
Private Contractor	COOPERATIVE AGREEMENT	DIRECT PAYMENT	AID	N/A	2,660,597
SUB-TOTAL					2,660,597
<b>3- LONG TERM ACADEMIC -</b>					
Private Contractor	AID/DIRECT CONTRACT	DIRECT PAYMENT	AID	N/A	8,802,555
SUB-TOTAL					8,802,555
<b>4- AUDITS</b>	AID/DIRECT CONTRACT (RIG managed)	DIRECT PAYMENT	AID		210,000
<b>TOTAL</b>					<b>15,000,000</b>

48+

## V. IMPLEMENTATION AND EVALUATION PLAN

### A. Administrative Arrangements

This section will include all relevant discussion on how the mission will implement the project, conduct follow-on activities, recruit and select Peace Scholars, etc. In addition to the discussion of mission-specific administrative procedures, the following discussion of the relationship between AID/W and the mission will be included.

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

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

USAID Responsibilities. The USAID will be responsible for all other aspects of project design, implementation, and evaluation within the limits of the policy guidance. Each mission will be responsible for establishing and managing contracts for technical assistance, Peace Scholar placement, and evaluation.

**B. Monitoring, Evaluation and Audit Plan**

**1. Program Monitoring and Evaluation**

**Background**

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

Centrally funded CLASP I evaluation activities have covered the following:

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

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

- (1) The CIS provides the LAC Bureau with an official and up-to-date tally on status of new trainee starts and on compliance with CLASP policy targets which are used for reporting purposes within and outside of A.I.D.;
- (2) Insights from the country reports have been very helpful to both missions and AID/W in guiding adjustments to country-specific programs; and

- (3) Finally, and perhaps of most significance, insights gained from the country specific evaluations have provided a useful base for sharing between missions experiences gained and lessons learned as A.I.D. enters the fifth year of this highly innovative program.

### Specific Nature of CLASP II Evaluation Design

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

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

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

- The key users of the data (e.g., AID/W and field missions) must both take on ownership of the data collected. This means that AID/W and field missions must have input into guiding both the design of the evaluation activities and their implementation;
- Data must be collected and reported on a timely basis: questions and information needs of today must be addressed today and answers provided while the questions are still relevant and the answers needed;
- Reporting of data must be done in such a way that it is easy to read and readily lends itself to use by the originator of the data request;
- Data on "process" (the way in which students are recruited, selected, and oriented and the way in which training is carried out in the U.S.) and data on "impact" (Information obtained on the effects of the training program on the trainees after they have returned home) must be closely linked.

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

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

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

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

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

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

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

3. Information that will permit both AID/W and field missions to assess the effectiveness of individual training programs and to take appropriate actions to

apply lessons learned both to the expansion/extension of training programs that are doing well and adjustment/termination of programs that do not seem to be meeting their objectives.

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

Under CLASP II, "impact" evaluation<sup>1</sup> will be adjusted somewhat. Instead of a questionnaire administered to all trainees one or more times upon the trainees return to country, evaluation will consist of a series of studies-- some country-specific, some carried out over a sample of CLASP II countries. These studies will have a strong qualitative orientation, utilizing quantitative data collection methodologies when appropriate. They will be carried out on a "demand" basis (e.g., as AID/W or a field mission has one or more specific questions for which an immediate answer is needed. The studies will be carried out in such a way that: (a) the results will be provided in a timely fashion to the originator of the data request; and (b) data from consecutive studies can be compiled, across countries and across studies, to make broader observations on CLASP II outcomes.

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

#### Implementation of CLASP II Evaluation Activities

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

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

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

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

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

TABLE 1

ILLUSTRATIVE LIST OF QUESTIONS  
FOR CLASP II "IMPACT" EVALUATION

Trainee knowledge of the U.S.

- Has the trainee's knowledge of the U.S. changed in any way since going to the U.S. for training?
- What have been the nature of the changes?
- Which aspects of the CLASP II process (pre-departure orientation, U.S. training, home-stays, follow-on) seem to have contributed to these changes, and in what ways?

Career Advancement

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

Leadership

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

Effectiveness of Short-term Training Programs

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

### Effectiveness of Long-term Training Programs

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

### 2. Mission Monitoring, Evaluation and Audit

The overall major program concerns will be met by the CAPS II evaluation contractor; therefore, the Mission will only address specific project evaluation issues through a de-briefing activity. In addition to monitoring contractor and training Institution performance, and addressing specific concerns about individual training programs, the de-briefing activity will serve to re-establish a positive relationship between returned participant and the Mission. There is no overlap foreseen between the evaluation activities managed by LAR/DR/EHR and the Mission.

The objectives of this one-day activity are several: 1) to cover evaluation concerns for each specific training group; 2) to analyze the groups interest in follow-on activities; 3) to help establish a communication network among ex-participants; 4) to motivate the participants to continue active as a group and join forces with the other ex-participants to implement community interest and development projects.

This activity takes place one to four months after the return of the group from the U.S. training program. Specific concerns that are covered include: 1) the applicability of the pre-departure orientation and the in-country English training and cultural orientation to the state-side experience; 2) recommendations from the group of what information should be continued, expanded or eliminated for future similar training programs; 3) the effectiveness of the training implementor in meeting the training goals with good logistical organization; 4) the groups' suggestion for technical follow-on training that will be implemented by the Mission; 5) the participants plan and/or their effectiveness in implementing the state-side training in their country.

Stimulated by the Mission's activities to establish a communication network among all returned participants of the CAPS I project, several participants have taken interest in starting an Association of Returned Participants or some similar organization. They see an organization as a means to support one another in various local or regional development projects. This is an initiative of the participants and at this point such an organization is on a discussion level. However, as this organization develops and their activities progress, the Mission will motivate the CAPS II participants to also become involved.

The Mission anticipates that it will be necessary to do an impact evaluation on the "Follow-on" activities developed and implemented by the participants. This will probably be a field buy-in to the general CLASP II evaluation contractor.

Audit responsibility for this bilateral project rests with the Mission. Audits will be performed over the duration of the project. The project budget includes \$92,000 for any non-federal RIG audits.

### C. Contracting Plan

#### 1. Long-Term

The Mission plans to make more extensive use of Mission contracts for the implementation of CAPS II than under CAPS. The experience of CAPS has suggested that buy-ins to AID/W contractors, while generally favorable, do not assure the delivery of timely information on trainees that permits a complete and full monitoring of trainee progress. Therefore, the Mission intends to award a contract for selection, placement, monitoring, pre-return, and follow-on services for the long-term component.

As of the writing of this Project Paper, the Mission has received 17 responses to its RFP for the implementation of the long-term component and is currently reviewing and evaluating these proposals with the intention of ultimately selecting a contractee.

#### 2. Short-Term

A contractor will also be selected to partially implement the short-term component. The Mission plans to fund a certain number of "repeat" short-term groups during the life of CAPS II. Contracting for the implementation of those groups will result in certain economies of scale and therefore will save the Mission considerable time and resources. It is expected that one group from each of the areas, for example, of Municipal Leaders, Communal Banks, and Primary School Directors will be sent each year.

It will be the responsibility of a Mission contractor to organize and implement these groups. Throughout the life of project, the groups will be evaluated to determine that they still respond to Mission and GOCR priorities. The Mission will do a limited competition among HBCUs for this component.

This approach will both achieve the expected management efficiencies and fulfill the Mission responsibility to contract with HBCUs and minority firms. Mission experience with HBCUs under CAPS has been favorable, and our discussions with AID/W and NAFEO (National Association for Equal Opportunity, the national HBCU organization) indicate that both the interest and the capability exists among HBCUs to provide the kind of short-term program that the Mission requires. The contracted HBCU will not necessarily do all the training for all of the groups; rather, it will serve as a clearinghouse to solicit proposals from potential deliverers of the training itself and to administer and manage the program once a training institution is selected by the Mission. This is basically the same arrangement that the Mission has had with PIET during the implementation of CAPS.

Some short-term groups will not be implemented under the HBCU contract. Under CAPS the Mission received a certain number of unsolicited proposals for short-term training, some of which were well-conceived and consistent with Mission priorities. These were approved and funded by the Mission. In order to retain the flexibility of considering these unexpected proposals, the Mission itself will implement one or two groups each year

through a by-in mechanism with OIT.

Therefore, this arrangement for the short-term component will achieve management/administrative economies for the Mission while retaining the flexibility to respond on a timely basis to sound but unexpected proposals.

### 3. High School

The Mission has worked with FUNAC, the Costa Rican foundation that corresponds to 4-H in the U.S., to implement the high school program. This working arrangement has been formalized through a Cooperative Agreement, as approved by AID/W in 1988. By working through a local non-profit foundation which has ties to the National 4-H Council in the U.S., the high school program has been very cost beneficial. Both organizations have extensive networks of volunteers which participate in the program, resulting in consistent cost savings to the Mission. The Mission will continue to work with FUNAC/4-H in the implementation of the high school program under CAPS II under the vehicle of the Cooperative Agreement.

## D. IMPLEMENTATION SCHEDULE

CAPS II will be implemented over a seven-year period. Trainee selection will be made during the first five years; the long-term trainees selected during the fifth year will have the final two years to conclude their studies and return to Costa Rica before the PACD.

The implementation schedule is described in the following table:

### NEW STARTS BY FISCAL YEAR

<u>year</u>	<u>long-term</u>	<u>short-term</u>	<u>high school</u>	<u>total trainees</u>
1991	40	5 groups	60	200
1992	35	5 groups	50	185
1993	35	2 groups	40	115
1994	30	3 groups	25	115
1995	25	3 groups	15	100
<b>TOTALS</b>	<b>165</b>	<b>18 groups</b>	<b>190</b>	<b>715</b>

note: short-term groups average 20 trainees per group

The budget for CAPS II has been developed in accordance with instructions for the Training Cost Analysis (TCA) format. However, because it is difficult to account for inflation, especially in the outer years of the project, the numbers of trainees in the fourth and fifth years of implementation are a conservative estimate. If a variety of factors, including cost containment, permit the selection of larger numbers of trainees in those years, the Mission will adjust its implementation plan accordingly.

Worthy of further note is the projected decrease in the number of short-term groups between FY 1992 and FY 1993. PACD for CAPS is September, 1993. The Mission made its final selection of long-term and

high school trainees under CAPS during 1990. Those long-term trainees will have until 1993 to complete their programs of study. Some will require extensions of time, which may imply increased funding levels, but there is no way of knowing how many at the time of this writing. So the Mission will hold a reserve of CAPS funds for this possibility. Once the Mission is sure that all the required extensions have been identified, approved and funded, the balance of the reserve will become available to support one or more additional short-term groups under CAPS, thereby committing all CAPS project funds within PACD. It is likely, therefore, that in 1993 the Mission will send more than two short-term groups; some will be funded under CAPS and some (the two that are projected) under CAPS II.

## VI. SUMMARY OF PROJECT ANALYSES

### A. Social/Institutional Analysis

#### 1. Methodology of the Social-Institutional Framework (SIF)

The SIF began with a review of current Mission knowledge and cumulative experience in long- and short-term training, both program related, and CAPS experiences. Over time, the Mission has developed an extensive network of institutional and organizational contacts that assist in the processes of seeking out appropriate candidates for the types of training that AID offers. In view of the small size of the Costa Rican population, the programs have already made a nationwide impact. The Mission will continue this under CLASP II. In order to reassess our training goals and methodologies, the Mission contracted the services of CID, a local affiliate of the Gallup polls organization, to carry out some basic field research in compliance with the SIF guidance.

CID began with a review of relevant literature in the area of leadership, followed by the completion of Matrix 1. Discussions were held between the contractor and members of the Mission to refine the process. The CID team then designed a questionnaire for interviewing 150 local level leaders in 20 cantons of Costa Rica. The cantons were selected according to geographic and socioeconomic characteristics of importance to CLASP II. For example, in the San José province (containing 40 percent of the national population) cantons with substantial portions of disadvantaged were selected.

The number of interviews in each canton varied from 6 to 9. The respondents were selected on the basis of their positions within the community and by their membership in sectors identified as priority in the Matrix 1 exercise. The interviews were carried out with a view towards leadership at the local level. The respondents were asked to provide their own definition of leadership, real examples of community leaders, and a description of the roles they play in the community. Once the results were tabulated, CID met again with the Mission and the draft report was discussed. The conclusions of the interviews coincide closely with Mission experience in terms of identification of leaders and the sectors which are priority for short-term training.

69

## 2. Definitions

The survey conducted among leaders asked each to define a "leader" in his/her own words. Their responses are presented below:

### a. Leader as problem solver

A leader is a person interested in helping a community resolve its problems. He/she is a person who understands the problem and looks for ways to solve it. He/she is highly capable and assumes responsibilities.

### b. Leader as goal setter

A leader is a person who organizes positively a group in order to carry out tasks which are beneficial to the community. He/she is capable of organizing the group in order to achieve agreement on objectives. He/she is able to get others to join the group in order to carry out the required tasks.

### c. Leader as charismatic

A leader is a person who stands out in a community because of his/her appearance of being in charge and because of a positive image projected to others. A leader is a person well-known in the community. He/she is admired in the community for the projects he/she carries out. The leader probably is skilled in persuading others to adopt his/her goals.

### d. Leader as concerned for the less advantaged

A leader often does things without concern for his/her own self-interest. He/she looks for ways to do things for the people. The most disadvantaged are the ones which most concern him/her. The leader is concerned for the development of the community.

### e. The leader as communicator

A leader is able to communicate his/her ideas and goals to a group in ways that it can understand. The leader is open to new ideas and is willing to receive as well as to give opinions. He/she is a person with a vision of the future and the ability to motivate the members of the community in terms of the vision.

## 3. Target Groups

When asked to define leaders in their cantons, the interviewees were asked for names. Since the type of leader identified by the respondents was of importance to this research, asking about specific individuals often provided respondents with a concrete example on which to base their answers. The answers were tabulated and below are the categories most often identified.

Many of the following sectors were targeted under CAPS and will continue to be the most important source for participants for short-term training under CLASP II.

- Members of Community Development Associations
- Members of Cantonal Education Committees
- Members of Cantonal Sports Committees
- Political leaders (two principal parties)
- City Managers
- Small businessmen and women
- School teachers and directors
- Union of Development Associations
- Directors of Clubs (Kiwanis, Lions, 4-S)
- Aldermen
- Clergy
- Congressmen

a. Recommendations for short term training selection

Certain sectors of Costa Rican society will be tapped for the selection of project beneficiaries. Among these are the following.

Community Development Associations (Asociaciones Integrales de Desarrollo Comunal)

These function at the "district" level and are made up of a wide variety of occupational and educational characteristics. In general, members are of lower socio-economic origin. The Community Development Associations are involved at the local level, especially in infrastructure and economic development projects.

Members of Cantonal Educational Committees (Juntas de Educación)

Members of Juntas are appointed by the municipal council and serve ad honorem for two-year terms. Juntas are responsible for administering certain school assets and for general support of the local schools. They are usually comprised of parents and leading members of the community; often considerable numbers of the members are women. Generally, members are of middle to lower socio-economic levels.

Members of Cantonal Sports Committees (Comité de Deportes Cantonal)

These Committees administer and maintain sports installations in their communities and promote sports and recreational activities. They are usually comprised of men of lower to middle income levels. The members are appointed by the local municipal councils and often are members of other associations or committees as well.

Political Leaders

The two major parties have grass roots political leaders and committees in every canton. The members may be of any occupational and income level.

City Managers (Ejecutivo Municipal)

City Managers are important in Municipal affairs at the cantonal level, and those from outside the central valley could be selected for participation in CLASP II. City managers generally are of a low-to-middle income level and usually are high school graduates.

### Small Businessmen and women

To the extent possible these should be persons with no more than five employees who engage in some kind of manufacturing operation. Preference should be for women, although this will imply a heavy emphasis on seamstresses. Identifying such individuals might be done through such private voluntary organizations that support microenterprise operations.

### School Teachers and Directors

The impact of this group both in their communities and on youth is obvious. Members are in lower to middle income groups. Emphasis should be on women in any teaching area (this is a sector with heavy woman membership, and therefore should be a priority for CLASP II), as well as men in the social sciences, humanities, and physical education.

### Cantonal Union of Development Associations

The cantonal unions are made up of representatives of the Community Development Associations. While the latter function strictly at the local level, the Unions consider projects which benefit the canton as a whole.

### Directors of Clubs

A wide variety of service clubs and special interest organizations operate at the local level, and directors and key members of clubs which have economic or social goals could be considered for participation. The directors of these clubs tend to be of low to middle income levels; most have at least some secondary schooling.

### Aldermen and Ward Bosses (Regidores y Síndicos)

These are publicly elected officials who form the Municipal Councils in each canton. They serve four-year terms, with the next group taking office in May, 1990. The aldermen are paid for attendance at each session of the municipal council. Among their responsibilities is appointing (and/or removing) the city manager. The ward bosses represent a single district within a canton and attend and participate in municipal council meetings, but have no vote. The aldermen tend to be of a low-to-middle socio-economic level and have some secondary education.

### Congressmen (Diputados)

The guidance for CAPS warns Missions against selecting participants from the political elite or the appearance of a conflict of interest. While it is true that congressmen from many socio-economic groups sit in the Costa Rican legislature, former diputados could be considered appropriate CLASP II candidates after they have completed their term of office. It is likely that the congressmen from rural areas will exercise a greater leadership role in their communities, both during and after their term as diputados, than their central valley colleagues.

### b. Recommendations for long-term training selection

In the long-term program, candidates are likely to be potential rather than actual leaders. An examination of the candidates' activities and leadership roles (if any) in their communities, high school, university, and

peer relationships will reveal which applicants have more or less leadership potential. Additionally, high personal motivation is related both to leadership potential and to the probability of successful completion of a long-term program, and this can be "measured" through the application, the recommendations, and the personal interview.

USAID will work with the National Council on Scientific and Technological Research (CONICIT) on a list of priority areas of study, or selected elements from the list, rather than establish its own independent priorities. The list, which is based on research conducted in 1989 by CONICIT among university, private sector, and government leaders, does not include areas such as social sciences or the humanities. It will be useful, however, as a partial guide to projected national needs.

The areas suggested by CONICIT are the following:

Agriculture and Natural Resources, including fields such as non-traditional crop production, natural resource administration, seed technology, plague control, fruit cultivation, ornamental plant production, wood technology, irrigation, and soils analysis.

Agro-industry, including fields such as food technology and perishable product preservation.

Computer Science and High Technology

Private Sector (Business and Industry), including administration and management, automated control systems, and mechanical engineering.

In addition to the above, the Mission will seek qualified candidates for the long-term program in the field of education, including teaching, school administration, and school counseling. From all of these sectors, and for both long and short term training, the Mission will continue to seek, recruit, and select qualified women for all-CLASP II training programs.

Due to the importance of education in Costa Rica, it would appear that people with less than two years of high school achieve leadership status in Costa Rica only with great difficulty. On the other hand, persons with a university education generally tend not to be involved in rural community affairs. CID recommends that, where available, leaders with 3 to 5 years of secondary school and preferably between the ages of 25-35 be selected for short-term training in most of the target sectors. However, the Mission recognizes that more important criteria are whether the candidate possesses the inherent elements of leadership, will benefit from CLASP training, and will be an effective agent for community action consistent with CLASP II objectives. Accordingly, the Mission selection process will be guided more by these considerations than by strict adherence to age and education levels.

Family income level is of course a factor that will be important in determining trainee participants. The Costa Rican government has established a basic market basket ("canasta básica") which serves as a basis for calculating a price index. According to November prices, the purchase of "canasta básica" articles for a family of five requires a minimum of \$236/month.

Based on this figure, CID recommends that the principal target for CLASP II should be persons with monthly family incomes ranging between \$236 and

13

\$705, with flexibility at the lower end of this range. Families with monthly incomes in excess of \$705 are not disadvantaged, and persons from families earning less than \$118 (the lowest 15%) may not be able to take full advantage of a training opportunity. The Mission will avail itself of this guidance in the context of the overall criteria for selection.

#### 4. Implementation

Recruitment and selection of individuals with the appropriate leadership qualities is perhaps the most critical aspect of CLASP II. Mission experience with CAPS has demonstrated that a many-phased selection process results generally in the most talented candidates. The formal written application is the first step in the process. This is reviewed independently by three members of the Training Division staff, using an evaluation sheet containing the important criteria for selection: socioeconomic status, family income level, the field of study, leadership potential. Those who pass this step are invited to an interview. A three-member panel, which includes an outside expert in the candidate's field of study and, where possible, a returned CAPS long-term participant, rates the candidate on the basis of the interview and recommends acceptance or non-acceptance into the program. Finally, the ratings of the interview teams are reviewed by a two-member committee from the Training Division, and final selection is made.

In the short-term and high school programs, the intermediary sponsoring organization and the National Foundation of 4-S Clubs in Costa Rica (FUNAC), respectively, do a preliminary selection of their top candidates and present their "short list" to the Mission. In all cases the Mission retains the right of final selection. Interviews are done with short-term applicants, where necessary, and with most of the high school candidates.

Under CLASP II, this pattern will be maintained. In the case of the long-term program, however, a preliminary one page application will be the first step in the process. The Training Division will review the pre-application and decide whether to invite the applicant to submit the longer, regular application.

The pre-application will request information based on the general criteria for selection: family income, field of study, parental education and occupations, place of residence, participation in school/community activities, leadership positions, a general statement of personal goals and why their field is important to the development of Costa Rica. The pre-application will enable the Mission to do an initial screening of applications and consider only those who fully qualify for participation under the CLASP II criteria. This should result in considerable savings of resources for the Training Division.

In addition to the intervention of the intermediaries and FUNAC, the Mission recruits potential participants from the different college and university campuses in Costa Rica. USAID and USIS do joint publicity and recruiting and often share applications, where an applicant appears to be more appropriate to the programs of the other agency. Consistent with the guidelines of CLASP II, the Mission intends to involve organizations like Peace Corps in the identification and recruitment of promising persons living in more remote areas of the country.

Some of the short-term target groups have a political dimension; rural municipal leaders is a prime example. In groups such as this, the Mission

let

will take the necessary steps to achieve a balance among the different party affiliations. Additionally, persons with less than one year remaining in their term of office will not be eligible for participation.

### B. Administrative

Immediate responsibility for the implementation of this Project will rest with the Deputy Chief of the General Development Division, a USDH who is also Chief of the Training Division of GDO. This person will be ably assisted in his responsibilities by an experienced staff of FSN direct hires and both U.S. and Costa Rican contract staff.

This group is currently in charge of ensuring the smooth implementation of CAPS, one of the Mission's more successful projects. Given that this staff will remain for the implementation of CAPS II, the Mission can quite reasonably anticipate another well run development effort.

Specifically, two FSNs will be tasked with the management of the long term academic component of this project. They are currently doing this activity under the present project and are assisted in these efforts by a local contractor who is responsible for maintaining the project statistics or CAPS Information System (CIS). Similarly, a FSN direct hire will continue with the management of the high school program and the English language/Cross Cultural program. A U.S. contractor will continue managing the short term program and a part time U.S. contractor will continue providing assistance in the areas of orientation, evaluation of programs and follow-on contacts with participants related to their activities after their return to Costa Rica.

After September 1990 the responsibilities of the U.S. part time contractor will be distributed among the various program managers. This is necessitated by what will be Mission compliance with a previous approved staff reduction plan. Given Mission experience with the implementation of the present CAPS project however as well as the long experience of the training Division staff, it is not anticipated that this change will result in any significant additional administrative burden on these officers. Indeed, they will continue to be assisted in their efforts by a number of Costa Rican private and public institutions which have been involved in the implementation of CAPS. The municipal development agency, IFAM, will propose and screen municipal leaders, the university will assist in the identification of science and natural resources candidates and the Ministry of Education will be relied upon for an initial screening and nominating of teachers. The Training Division will of course retain authority for the final approval of candidates.

### C. Economic

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

The most appropriate and relevant means of assessing the economic feasibility of training projects is cost effectiveness analysis. The key concept of the cost effectiveness approach is that the analytical focus is on accomplishing the objectives rather than the total amount of the costs per

46

se. The purpose of the analysis is to identify the least cost (or most efficient) means of achieving those objectives. In other words, while the project should not cost more than necessary to be successful, neither should the objectives be sacrificed to reduce costs.

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

On the program level, the appropriate approach is to assure that cost effectiveness considerations are integrated into the design and implementation of the project. A mechanism for incorporating this consideration is included in the design of the Project. This is the institutionalization of cost containment measures in the project. Cost containment has been applied to specific training groups and contracts, so the alternatives available are more subject to analysis and comparison. For example, the alternatives of in-country and U.S. based English language training (or a combination thereof) or other preparatory training have been analyzed and costs are easy to measure. In addition, the use of TCA in the budgeting of this project to compare and monitor contract costs on a line item basis will substantially improve the competitiveness of proposals and the Mission's ability to control costs. This systematic review of alternatives on a cost basis is the single most effective means of assuring that the project is cost effective.

Ultimately, the cost effectiveness of the project is in the details of implementation rather than the design. The judgement can be made that adequate measures have been built into the project to maximize the cost effectiveness of the project by emphasizing the training objectives and institutionalizing the use of cost containment approaches.

#### D. Technical

The primary technical issues of participant training concern those factors in the design and implementation of the program which experience has shown to be important in creating successful training programs. A.I.D. and its predecessor agencies have

66\*

provided scholarships to over 250,000 foreign nationals since 1949 and the collective experience has been reviewed in numerous evaluations and audits in that period.

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

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

Beyond selecting promising individuals, the adequacy of the training program in assessing the professional or training needs of the individual (or group) and eventual placement in an appropriate training program is essential. Therefore, program planning cannot be done in isolation, but rather should include the active involvement of the participant, his/her supervisors or managers, and community representatives (if appropriate). Because these individuals are in the best position to determine the types of skills needed and how they will be used after return to the home country, many potential problems can be avoided at this stage, when it is least difficult and costly to make changes. In addition to improving the training activities, this broad participation of interested parties in the planning stage will help assure that A.I.D., the participant, and the employer or sponsor have similar expectations of what the training program is intended to achieve. Different expectations of the program have been a common complaint in many unsuccessful training programs. As part of this cooperative program planning process, explicit plans for using the training after return should be formulated at this stage.

The adequate development of a training request is a key step in assuring a high quality training program. The training request must include all relevant data about the participant which will be needed by the training institution and trainers to orient the program to the participants needs and expectations.

While

this

12

would seem to be an obvious statement, the transmission of adequate information has been a recurring problem in many training programs. Therefore, all missions will emphasize the importance of proper planning to the contract and FSN project managers. Of course, the level of effort needed to assure adequate planning will vary considerably with the type of program. Attendance at a conference or seminar will require relatively little time and effort to arrange, while a customized 9-month training program will require substantial information, time and effort.

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

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

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

## VII. ANNEXES

### A. Logical Framework

#### LOGICAL FRAMEWORK

#### CARIBBEAN AND LATIN AMERICA SCHOLARSHIP PROGRAM (CLASP) (598-0661, 597-0044)

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

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Program Purpose

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

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

Returned Peace Scholars are active and influential in community or professional affairs.

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

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

Process Evaluation  
Impact Evaluation  
Project Reports

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

Training program facilitates career advancement of Peace Scholars.

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

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

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

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Mission Project OUTPUTS

1. Program Requirements

1a. Project is consistent with program guidelines

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

Project records.

Selection procedures are instituted and followed.

Appropriate candidates can be found.

2. Peace Scholar selection and recruitment procedures identify leaders and potential leaders.

2. Mission strategy and procedures established and functioning.

Project process evaluation.

Process evaluation.

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

3. Interviews indicate that Peace Scholars are well prepared for program.

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

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

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

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

7/18

Narrative Summary

Objectively Verifiable Indicators

Means of Verification

Assumptions

Outputs (contd)

6. All programs include integrated Experience America program.

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

Project records  
Process evaluation

7. Returned Peace Scholars needs met by customized follow-on program

Every Peace Scholar has appropriate EA programs.

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

All returned Peace Scholars are included in follow-on activities

11. Project Outputs (completed by mission)

1. Short-term technical training

1. At least 360 people are trained in the identified priority fields.

Project Records

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

2. At least 190 people are trained in the identified priority fields

Project Records

3. Academic Education programs are completed.

3. At least 165 people receive ---- degrees in the identified priority fields.

Project Records

INPUTS

Scholarships  
Technical Assistance

5C(1) COUNTRY CHECKLIST

Listed below are statutory criteria applicable to:  
 (A) FAA funds generally; (B)(1) Development Assistance funds only; or (B)(2) the Economic Support Fund only.

A. GENERAL CRITERIA FOR COUNTRY ELIGIBILITY

1. FY 1987 Continuing Resolution Sec. 526. Has the President certified to the Congress that the government of the recipient country is failing to take adequate measures to prevent narcotic drugs or other controlled substances which are cultivated, produced or processed illicitly, in whole or in part, in such country or transported through such country, from being sold illegally within the jurisdiction of such country to United States Government personnel or their dependents or from entering the United States unlawfully? No
  
2. FAA Sec. 481(h). (This provision applies to assistance of any kind provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance from the Child Survival Fund or relating to international narcotics control, disaster and refugee relief, or the provision of food or medicine.) If the recipient is a "major illicit drug producing country" (defined as a country producing during a fiscal year at least five metric tons of opium or 500 metric tons of coca or marijuana) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly affecting the United States, Not applicable

through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government), has the President in the March 1 International Narcotics Control Strategy Report (INSCR) determined and certified to the Congress (without Congressional enactment, within 30 days of continuous session, of a resolution disapproving such a certification), or has the President determined and certified to the Congress on any other date (with enactment by Congress of a resolution approving such certification), that (a) during the previous year the country has cooperated fully with the United States or taken adequate steps on its own to prevent illicit drugs produced or processed in or transported through such country from being transported into the United States, and to prevent and punish drug profit laundering in the country, or that (b) the vital national interests of the United States require the provision of such assistance?

3. **Drug Act Sec. 2013.** (This section applies to the same categories of assistance subject to the restrictions in FAA Sec. 481(h), above.) If recipient country is a "major illicit drug producing country" or "major drug-transit country" (as defined for the purpose of FAA SEC 481(h)), has the President submitted a report to Congress listing such country as one (a) which, as a matter of government policy, encourages or facilitates the production or distribution of illicit drugs; (b) in which any senior official of the government engages in, encourages, or facilitates the production or distribution of illegal

No

drugs; (c) in which any member of a U.S. Government agency has suffered or been threatened with violence inflicted by or with the complicity of any government officer; or (d) which fails to provide reasonable cooperation to lawful activities of U.S. drug enforcement agents, unless the President has provided the required certification to Congress pertaining to U.S. national interests and the drug control and criminal prosecution efforts of that country?

4. FAA Sec. 620(c). If assistance is to a government, is the government liable as debtor or unconditional guarantor on any debt to a U.S. citizen for goods or services furnished or ordered where (a) such citizen has exhausted available legal remedies and (b) the debt is not denied or contested by such government? **Not applicable**
5. FAA Sec. 620(e)(1). If assistance is to a government, has it (including any government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities? **No**
6. FAA Sec. 620(a), 620(f), 620 D; FY 1987 Continuing Resolution Secs. 512, 560. Is recipient country a Communist country? If so, has the President determined that assistance to the country is important to the national interests of the United States? Will assistance be provided to Angola, Cambodia, Cuba, Iraq, Syria, Vietnam, Libya, or South Yemen? Will assistance be provided to Afghanistan without a certification? **No**

-4-

7. FAA Sec. 620(j). Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property? **No**
8. FAA Sec. 620(l). Has the country failed to enter into an investment guaranty agreement with OPIC? **No**
9. FAA Sec. 620(o); Fishermen's Protective Act of 1967, as amended, Sec. 5. (a) Has the country seized, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made? **a. No**  
**b. Not applicable**
10. FAA Sec. 620(q); FY 1987 Continuing Resolution Sec. 518. (a) Has the government of the recipient country been in default for more than six months on interest or principal of any AID loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1987 Continuing Resolution appropriates funds? **a. No**  
**b. No**
11. FAA Sec. 620(s). If contemplated assistance is development loan or from Economic Support Fund, has the Administrator taken into account the percent of the country's budget and amount of the country's foreign exchange or other resources spent on military equipment? **Not applicable**
12. FAA Sec. 620(t). Has the country severed diplomatic relations with the United States? If so, have relations been resumed and have new

bilateral assistance agreements been negotiated and entered into since such resumption?

13. FAA Sec. 620(u). What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the AID Administrator in determining the current AID Operating Year Budget? (Reference may be made to the Taking into Consideration memo.)
14. FAA Sec. 620A. Has the President determined that the recipient country grants sanctuary from prosecution to any individual or group which has committed an act of international terrorism or otherwise supports international terrorism? **No**
15. ISDCA of 1985 Sec. 552(b). Has the Secretary of State determined that the country is a high terrorist threat country after the Secretary of Transportation has determined, pursuant to section 1115(e)(2) of the Federal Aviation Act of 1958, that an airport in the country does not maintain and administer effective security measures? **No**
16. FAA Sec. 666(b). Does the country object, on the basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. who is present in such country to carry out economic development programs under the FAA? **No**
17. FAA Secs. 669, 670. Has the country, after August 3, 1977, delivered to any other country or received nuclear enrichment or reprocessing equipment, materials, **No**

-6-

or technology, without specified arrangements or safeguards, and without special certification by the President? Has it transferred a nuclear explosive device to a non-nuclear weapon state, or if such a state, either received or detonated a nuclear explosive device? (FAA Sec. 620E permits a special waiver of Sec. 669 for Pakistan.)

18. FAA Sec. 670. If the country is a non-nuclear weapon state, has it, on or after August 8, 1985, exported (or attempted to export) illegally from the United States any material, equipment, or technology which would contribute significantly to the ability of a country to manufacture a nuclear explosive device? **No**
19. ISDCA of 1981 Sec. 720. Was the country represented at the Meeting of Ministers of Foreign Affairs and Heads of Delegations of the Non-Aligned Countries to the 36th General Assembly of the U.N. of Sept. 25 and 28, 1981, and failed to disassociate itself from the communique issued? If so, has the President taken it into account? (Reference may be made to the Taking into Consideration memo.) **No**
20. FY 1987 Continuing Resolution Sec. 528. Has the recipient country been determined by the President to have engaged in a consistent pattern of opposition to the foreign policy of the United States? **No**
21. FY 1987 Continuing Resolution Sec. 513. Has the duly elected Head of Government of the country been deposed by military coup or decree? **No**

-7-

**B. FUNDING SOURCE CRITERIA FOR COUNTRY ELIGIBILITY**

**1. Development Assistance Country Criteria**

No

FAA Sec. 116. Has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, can it be demonstrated that contemplated assistance will directly benefit the needy?

**5C(2) - PROJECT CHECKLIST**

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

**CROSS REFERENCES:  
IS COUNTRY CHECKLIST UP TO DATE? HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PROJECT?**

**A. GENERAL CRITERIA FOR PROJECT**

**1. FY 1987 Continuing Resolution Sec. 523; FAA Sec. 634 A.**

**Congressional notification expired March 30, 1990.**

Describe how authorization and appropriations committees of Senate and House have been or will be notified concerning the project.

Yes

**2. FAA Sec. 611(a)(1). Prior to obligation in excess of \$500,000, will there be (a) engineering, financial or other plans necessary to carry out the assistance and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?**

79<sup>r</sup>

3. FAA Sec. 611(a)(2). If legislative action is required within recipient country, what is basis for reasonable expectation that such action will be completed in time to permit orderly accomplishment of purpose of the assistance? **Not applicable**
4. FAA Sec. 611(b); FY 1987 Continuing Resolution Sec. 501. If project is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U.S.C. 1962, et seq.)? (See A.I.D. Handbook 3 for guidelines.) **Not applicable**
5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and total U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability effectively to maintain and utilize the project? **Not applicable**
6. FAA Sec. 209. Is project susceptible to execution as part of regional or multilateral project? If so, why is project not so executed? Information and conclusion whether assistance will encourage regional development programs. **No**
7. FAA Sec. 601(a). Information and conclusions whether project will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; and (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions. **a. No**  
**b. Yes. The project promotes private enterprise through increased training.**  
**c,d,e,f: Yes The project will contribute to all of these through enhancing beneficiaries appreciation of these sectors. ,**

8. FAA Sec. 601(b). Information and conclusion on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise). **The project does not directly encourage US investment and trade.**
9. FAA Sec. 612(b), 636(h). Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars. **The Costa Rican government will furnish local currency approximately equal to the amount of project costs which are budgetted for local currency expenditure.**
10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release? **No**
11. FY 1987 Continuing Resolution Sec. 521. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to **No**

U.S. producers of the same, similar or competing commodity?

12. FY 1987 Continuing Resolution Sec. 558 (as interpreted by conference report). If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities (a) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U.S. exporters of a similar agricultural commodity; or (b) in support of research that is intended primarily to benefit U.S. producers?
- a. No
- b. No
13. FY 1987 Continuing Resolution Sec. 559. Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff Schedule "Section 807", which allows reduced tariffs on articles assembled abroad from U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel?
- No
14. FAA Sec. 118 (c). Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16? Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does
- The project complies with AID Regulation 16. However, it does not directly deal with conservation of natural resources.

the assistance, to the fullest extent feasible: (a) stress the importance of conserving and sustainably managing forest resources; (b) support activities which offer employment and income alternatives to those who otherwise would cause destruction and loss of forests, and help countries identify and implement alternatives to colonizing forested areas; (c) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management; (d) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices; (e) help conserve forests which have not yet been degraded, by helping to increase production on lands already cleared or degraded; (f) conserve forested watersheds and rehabilitate those which have been deforested; (g) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing; (h) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation; (i) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected areas a condition of support for activities involving forest clearance or degradation, and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas; (j) seek to increase the awareness of U.S. government agencies and other donors of the immediate and long-term value of tropical forests; and (k) utilize the resources and abilities of all relevant U.S. government agencies?

-12-

15. FAA Sec. 119(q)(4)-(6). Will the assistance (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas?
- a. Yes  
b. No  
c. No  
d. No
16. FAA 121(d). If a Sahel project, has a determination been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of project funds (dollars or local currency generated therefrom)?
- Not applicable
17. FY 1987 Continuing Resolution Sec. 532. Is disbursement of the assistance conditioned solely on the basis of the policies of any multilateral institution?
- No
- B. FUNDING CRITERIA FOR PROJECT**
1. Development Assistance Project Criteria
- a. FAA Secs. 102(b), 111, 113, 281(a). Describe extent to which activity will (a) effectively involve the poor in development by extending access to economy at local level, increasing labor intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward
- a. Beneficiaries will be from middle and lower economic classes.  
b. N/A

64

-13-

better life, and otherwise encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status, (e) utilize and encourage regional cooperation by developing countries.

c. Not directly

d. The project aims to increase access to training without bias as to sex. At least 40% of the beneficiaries will be women.

b. FAA Sec. 103, 103A, 104, 105, 106, 120-121. Does the project fit the criteria for the type of funds (functional account) being used?

Yes

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

N/A

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

Yes. Costa Rica will provide approximately 16% of the project costs. Since the Project is ESF funded, the 25% counterpart requirement is not applicable.

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

Yes

f. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil

The project uses existing Costa Rican institutions, both public and private. All direct beneficiaries of the Project will be Costa Rican citizens.

85

-14-

education and training in skills required for effective participation in governmental processes essential to self-government.

- g. FY 1987 Continuing Resolution Sec. 540. **No**  
 Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions?

Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations? **No**

Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning? **No**

- h. FY 1987 Continuing Resolution. **No** Is the assistance being made available to any organization or program which has been determined to support or participate in the management of a program of coercive abortion or involuntary sterilization?

If assistance is from the population functional account, are any of the funds to be made available to voluntary family planning projects which do not offer, either directly or through referral to or information about access to, a broad range of family planning methods and services? **Not applicable**

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

56

-15-

- j. FY 1987 Continuing Resolution. How much of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, and private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?
- No set aside is contemplated; due to the use of centrally negotiated contracts for the US technical assistance. Ten percent of the participants at to attend Historically Black Colleges and Universities (HBCUs).
- k. FAA Sec. 118(c)(13). If the assistance will support a program or project significantly affecting tropical forests (including projects involving the planting of exotic plant species), will the program or project (a) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land, and (b) take full account of the environmental impacts of the proposed activities on biological diversity?
- Not applicable
- l. FAA Sec. 118(c)(14). Will assistance be used for (a) the procurement or use of logging equipment, unless an environmental assessment indicates that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems; or (b) actions which significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas?
- Not applicable
- m. FAA Sec. 118(c)(15). Will assistance be used for (a) activities which would result in the conversion of forest lands to the rearing of livestock; (b) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undegraded forest lands; (c) the colonization of forest lands; or (d) the construction
- No

874

-16-

of dams or other water control structures which flood relatively undegraded forest lands, unless with respect to each such activity an environmental assessment indicates that the activity will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?

- |    |   |                |
|----|---|----------------|
| 2. | <u>Development Assistance Project Criteria (Loans Only)</u> | Not applicable |
| 3. | <u>Economic Support Fund Project Criteria</u>               | Not applicable |

**5C(3) - STANDARD ITEM CHECKLIST**

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

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

**A. PROCUREMENT**

- |   |   |
|---|---|
| 1. <b>FAA Sec. 602(a).</b> Are there arrangements to permit U.S. small business to participate equitably in the furnishing of commodities and services financed?  | <b>Not set aside has been contemplated.</b> |
| 2. <b>FAA Sec. 604(a).</b> Will all procurement be from the U.S. except as otherwise determined by the President or under delegation from him?  | <b>Yes</b>                                  |
| 3. <b>FAA Sec. 604(d).</b> If the cooperating country discriminates against marine insurance companies authorized to do business in the U.S., will commodities be insured in the United States against marine risk with such a company? | <b>Not applicable</b>                       |

89\*

4. FAA Sec. 604(e); ISDCA of 1980 Sec. 705(a). If non-U.S. procurement of agricultural commodity or product thereof is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity? (Exception where commodity financed could not reasonably be procured in U.S.) **Not applicable**
5. FAA Sec. 604(g). Will construction or engineering services be procured from firms of advanced developing countries which are otherwise eligible under Code 94I and which have attained a competitive capability in international markets in one of these areas? (Exception for those countries which receive direct economic assistance under the FAA and permit United States firms to compete for construction or engineering services financed from assistance programs of these countries.) **No**
6. FAA Sec. 603. Is the shipping excluded from compliance with the requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 percent of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S. flag commercial vessels to the extent such vessels are available at fair and reasonable rates? **No**
7. FAA Sec. 621(a). If technical assistance is financed, will such assistance be furnished by private enterprise on a contract basis to the fullest extent practicable? Will the **The project will use private technical assistance. Use of Federal agencies is not contemplated.**

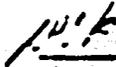
facilities and resources of other Federal agencies be utilized, when they are particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

- |     |   |  |
|-----|---|--|
| 8.  | <u>International Air Transportation Fair Competitive Practices Act, 1974.</u> If air transportation of persons or property is financed on grant basis, will U.S. carriers be used to the extent such service is available?  | Yes  |
| 9.  | <u>FY 1987 Continuing Resolution Sec. 504.</u> If the U.S. Government is a party to a contract for procurement, does the contract contain a provision authorizing termination of such contract for the convenience of the United States?  | Yes  |
| 10. | <u>FY 1987 Continuing Resolution Sec. 524.</u> If assistance is for consulting service through procurement contract pursuant to 5 U.S.C. 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)? | Yes  |
| B.  | <u>CONSTRUCTION</u>   | Not applicable, since no construction is contemplated. |
| C.  | <u>OTHER RESTRICTIONS</u>   |  |
| 1.  | <u>FAA Sec. 122(b).</u> If development loan repayable in dollars, is interest rate at least 2 percent per annum during grace period which is not to exceed ten years, and at least 3 percent per annum thereafter?  | Not applicable   |
| 2.  | <u>FAA Sec. 301(d).</u> If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights?  | Not applicable   |

965

3. FAA Sec. 620(h). Do arrangements exist to insure that United States foreign aid is not used in a manner which, contrary to the best interests of the United States, promotes or assists the foreign aid projects or activities of the Communist-bloc countries? **Yes**
4. Will arrangements preclude use of financing:
- a. FAA Sec. 104(f); FY 1987 Continuing Resolution Secs. 525, 540. (1) To pay for performance of abortions as a method of family planning or to motivate or coerce persons to practice abortions; (2) to pay for performance of involuntary sterilization as method of family planning, or to coerce or provide financial incentive to any person to undergo sterilization; (3) to pay for any biomedical research which relates, in whole or part, to methods or the performance of abortions or involuntary sterilizations as a means of family planning; or (4) to lobby for abortion? **Precluded**
- b. FAA Sec. 483. To make reimbursements, in the form of cash payments, to persons whose illicit drug crops are eradicated? **Precluded**
- c. FAA Sec. 620(q). To compensate owners for expropriated or nationalized property, except to compensate foreign nationals in accordance with a land reform program certified by the President? **Precluded**
- d. FAA Sec. 660. To provide training or advice, or any financial support for police, prisons, or other law enforcement forces, except for narcotics programs? **Precluded**

- e. FAA Sec. 662. For CIA activities? **Precluded**
- f. FAA Sec. 636(i). For purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U.S., unless a waiver is obtained? **Precluded**
- g. FY 1987 Continuing Resolution, Sec. 503. To pay pensions, annuities, retirement pay, or adjusted service compensation for military personnel? **Precluded**
- h. FY 1987 Continuing Resolution Sec. 505. To pay U.N. assessments, arrearages or dues? **Precluded**
- i. FY 1987 Continuing Resolution Sec. 506. To carry out provisions of FAA section 209(d) (Transfer of FAA funds to multilateral organizations for lending)? **Precluded**
- j. FY 1987 Continuing Resolution Sec. 510. To finance the export of nuclear equipment, fuel, or technology? **Precluded**
- k. FY 1987 Continuing Resolution Sec. 511. For the purpose of aiding the efforts of the government of such country to repress the legitimate rights of the population of such country contrary to the Universal Declaration of Human Rights? **Precluded**
- l. FY 1986 Continuing Resolution Sec. 516. To be used for publicity or propaganda purposes within U.S. not authorized by Congress? **Precluded**

APPR: FS DRAFT: EW OTHER: LW 

OTHER: \_\_\_\_\_

OTHER: \_\_\_\_\_

UNCLASSIFIED

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

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

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

IMMEDIATE

AIDLAC

AIDAC

E.O. 12356: N/A

TAGS:

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

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

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

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

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

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

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

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

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

UNCLASSIFIED

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

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

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

UNCLASSIFIED  
OF 185 (GL)

96

#### D. CLASP I Implementation Experience

The following comments represent some general lessons learned about implementing CLASP I. They are intended to be helpful to Missions in designing and implementing CLASP II.

##### Introduction

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

Prior to consideration of the details of project implementation, it is useful to focus on two overall considerations that are fundamental to the success of any CLASP program. It is clear that missions which have instituted and administered clear, well defined policies and procedures for recruiting, selecting, programming, placing and monitoring trainees have been able to conduct very effective programs.

First, an effective organizational scheme for all project activities quality control, achievement of objectives, and mission oversight. This includes decisions over contracting, upgrading training office or CLASP office staffs, procuring needed equipment and space. Will an in-country contractor be necessary? Who will provide the U.S. management of trainees? Will the Mission use OIT or its own contractor? What type of staff will be needed? Each mission should carefully consider organization complexity, management lines and responsibilities, linkages among project activities, coordination requirements, and accountability in making these decisions. In general, program management becomes more complex and difficult as the number of contractors and management units increases.

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

##### Recruitment

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

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

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

C. All U.S. and local staff should be made aware of the training opportunities; they are often a source of valuable contacts for the Training Office. However, Missions should be very careful that local direct hire and FSN staff understand the program purpose and that recommended Peace Scholars are appropriate for this program. Missions must ensure that CLASP training is not substituted for other Mission Project Training. This is not easy; and it may be made more difficult by including other project staff in recruitment, planning or targeting exercises.

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

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

In some cases, local government agencies have attempted to mandate selection by nominating exactly the number of trainees who are required. This is unacceptable and Missions must find ways to prevent it. In the worst case, the Mission should withdraw the training. This was necessary in one country in CLASP I: this difficult measure resulted in the project staff having clear and undisputed authority to select Peace Scholars.

## II. Selection

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

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

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

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

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

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

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

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

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

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

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

### III. Pre-departure Orientation

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

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

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

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

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

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

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

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

#### IV. Preparation of PIO/Ps and other Documentation

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

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

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

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

1. The TCA Budget and final expenditure record (using the LAC TCA reporting form;

2. The documentation describing the selection procedure which should include the candidates ratings on critical points (as described above);

3. The Trainees' application forms, which can serve as backup documentation later.

4. The J-1 visa application form.

5. Any other documentation normally maintained by the Mission for its Peace Scholars, such as the medical exam results.
6. Any correspondence from Trainees or Contractors.
7. Grades or other performance indicators.

Maintaining the above files is essential to avoid problematic audits.

## E. Relative Costs of Contracting Modes

### CLASP Contract Costs

A review of costs for long-term training under current CLASP contracts suggests the following:

- Mission-based CLASP contracts are less costly than either regional contracts run out of LAC/DR/EST or OIT's central contracts.
- Administrative (overhead) expenses of OIT contractors, LAC regional contracts, and mission-based CLASP contracts are comparable.
- CLASP contractors that report directly to CLASP missions are currently either managing other CLASP contractors or they have other non-CLASP participant training contracts within or outside of the LAC Bureau.

Through the Training Cost Analysis (TCA), an instrument that originated in the LAC Bureau which was recently mandated by the Administrator for use in all Agency participant training procurement, the LAC bureau has an instrument it can use:

- To effectively gauge and negotiate reduced training costs during the initial procurement process.
- To monitor contracts while they are being implemented to assure that individual line item costs are within limits set out in the contract.

ASSERTIONS Mission based CLASP contracts are less costly than either regional contracts run out of LAC/DR/EST or OIT's central contracts.

Administrative (including overhead) expenses of OIT contractors, LAC regional contracts, and mission based CLASP contracts are comparable.

- A comparison was carried out of individual training costs per month for long-term training and administrative costs per month (a sub-item under individual training costs) for three categories of CLASP contractors:
  - Central contractors (PIET, USDA)
  - LAC regional contractors (USA, Development Associates)
  - Mission-based contractors (AED, NAPA, Univ. of New Mexico)
- This comparison (See Table 1 attached) revealed the following:
  - Total per person month training costs for mission-based contractors are lower than for either central or LAC regional contractors. Presumably, this is due to greater success in identifying lower cost training opportunities.
  - Administrative costs (including overhead) for mission-based contractors are either less than or are comparable to central and LAC regional contracts.

TABLE 1  
COMPARISON OF AVERAGE COSTS PER TRAINING MONTH AND  
PER MONTH ADMINISTRATIVE COSTS AMONG CLASP CONTRACTORS

CONTRACTOR	NUMBER OF TRAINEES	TOTAL AVERAGE COST PER TRAINING MONTH	ADMINISTRATIVE COST PER TRAINING MONTH
<u>CENTRAL CONTRACTS</u>			
PIET (Honduras, Panama, El Salvador)	282	\$1,579	\$185
USDA (Costa Rica, Honduras)	52	\$1,683	\$240
<u>LAC REGIONAL CONTRACTS</u>			
Development Associates (Bolivia, Colombia, Ecuador, Peru)	263	\$1,600	\$251
USA (Dominican Republic, Haiti, Jamaica, RDO/C)	320	\$1,519	\$449
<u>MISSION-BASED CONTRACTS</u>			
AED (Honduras)	417	\$1,206	\$198
AED (RDO/C)	207	\$1,300	\$185
Georgetown (Panama)	235	\$1,307	NA*
CSLA (El Salvador)	124	\$1,215	NA*
University of New Mexico (El Salvador)	55	\$1,290	NA*
NAPA	235	\$1,295	\$335

-----  
(1) Administrative charge vs administrative cost  
\* Administrative cost not available

103

ASSERTION Mission contractors are either currently staffed up to do other participant training under the current CLASP program or have other participant training contracts within or outside of the LAC bureau

TABLE 2

PARTICIPANT TRAINING (CLASP AND NON CLASP) CARRIED  
OUT BY MISSION BASED CLASP CONTRACTORS

CONTRACTOR	CONTRACT AMOUNT	NUMBER OF TRAINEES
ACADEMY FOR EDUCATION DEVELOPMENT (1)		
CAPS (Honduras)	\$21,337,467	417
PTIIC (RDO/C)	\$ 9,065,910	307
Pakistan	-----	---
Botswana	-----	---
DEVELOPMENT ASSOCIATES		
APSP (South America)	\$19,848,335	1,740
LAC II (Mexico)	\$ 2,700,533	983
Development Training (Dominican Republic)	\$ 3,600,000	281
NATIONAL ASSOCIATION OF THE PARTNERS OF THE AMERICAS		
CAPS (El Salvador)	\$5,164,140	335
LAC II (Brazil) (2)	\$ 400.000	32
GEORGETOWN UNIVERSITY		
CAPS (Panama)	\$-----	
CASP	-----	

- (1) AED has three other projects that have some participant training within it.  
(2) Cooperative Agreement. FY 1988 data only.

PROJECT IMPLEMENTATION ORDER/  
PARTICIPANTS (PIO/P)

Country B

PROJECT ACTIVITY NUMBER & TITLE  
CLASP II

4. APPROPRIATION

5. ALLOTMENT

6. DATE ORIGINAL ISSUE

7. DATE THIS ISSUANCE

PAGE 1 OF

8. PROJECT COMPLETION DATE

9. DESIRED START DATE

10. TERMINAL START DATE

11. NUMBER OF PARTICIPANTS

12.  ORIGINAL  
 AMENDMENT NUMBER

13. LOCATION/DURATION OF TRAINING  
 U.S. P/M  Third Country P/M  In Country P

14. FINANCING

AGENT	TYPE OF EXPENSE	A. PREVIOUS TOTAL	B. INCREASE	C. DECREASE	D. NEW TOTAL
AID	(a)				45,404.08
MISSION	(b) Int. Travel				1,950.00
	(c) Maint. Advance				43,454.08
AID/W	(d)				
THIRD COUNTRY	(e)				
	(f)				
	(g)				
	(h)				
	(i)				

15. COOPERATING COUNTRY FINANCING

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

17. SPECIAL PROVISIONS

A. REF: P.I.L. NUMBER \_\_\_\_\_ GRANT \_\_\_\_\_ LOAN \_\_\_\_\_

B. SUPPLEMENTARY INFORMATION

MS degree in Aquaculture with emphasis in Shrimp Production.

C. NAME(S) OF PARTICIPANTS

(Insert name of participant - Mr. Jones)

18. MISSION CLEARANCES

SIGNATURE	DATE	SIGNATURE	DATE

19. HOST COUNTRY/BORROWER/GRANTEE

SIGNATURE

TITLE

DATE

20. AGENCY FOR INTERNATIONAL DEVELOPMENT

105+

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

**B. TRAINING REQUEST**

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

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

(continued on page 3)

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

M.S. Aquaculture  
 Shrimp Production

**C. RELATED INFORMATION**

**D. PARTICULAR EMPHASIS DESIRED**

Crustaceous Production

**E. SUGGESTED TRAINING FACILITIES (If known)**

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

**F. PARTICIPANT'S FUTURE EMPLOYMENT**

**A. CHECK APPROPRIATE BOX (B47)**

GOVERNMENT

PRIVATE

JOINT

**B. OCCUPATIONAL  
 CATEGORY CODE  
 (B48-49)**

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

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

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

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

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

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

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

PROJECT IMPLEMENTATION ORDER/  
PARTICIPANTS (PIO/P)

1. PROJECT ACTIVITY NUMBER & TITLE

CLASP II  
(Firefighters)

4. APPROPRIATION

3. ALLOTMENT

6. DATE ORIGINAL ISSUE

7. DATE THIS ISSUANCE

PAGE 1 OF

8. PROJECT COMPLETION DATE	9. DESIRED START DATE	10. TERMINAL START DATE	11. NUMBER OF PARTICIPANTS
----------------------------	-----------------------	-------------------------	----------------------------

12.  ORIGINAL  AMENDMENT NUMBER

13. LOCATION/DURATION OF TRAINING  
 U.S. P/M  Third Country P/M  In Country

14. FINANCING

AGENT	TYPE OF EXPENSE	A. PREVIOUS TOTAL	B. INCREASE	C. DECREASE	D. NEW TOTAL
AID	(a)				\$164,760
MISSION	(b) Int. Travel				
	(c) Maint. Advance				39,000
AID/W	(d)				125,760
THIRD COUNTRY	(e)				
	(f)				
	(g)				
	(h)				
	(i)				
	(j)				

15. COOPERATING COUNTRY

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

17. SPECIAL PROVISIONS

A. REF: FIL NUMBER \_\_\_\_\_ GRANT \_\_\_\_\_ LOAN \_\_\_\_\_

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

C. NAME(S) OF PARTICIPANTS

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

18. MISSION CLEARANCES

SIGNATURE	DATE	SIGNATURE	DATE

19. HOST COUNTRY/BORROWER/GRANTEE

20. AGENCY FOR INTERNATIONAL DEVELOPMENT

SIGNATURE	
TITLE	DATE

1088

MODEL GROUP PIO/P

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

B. TRAINING REQUEST

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

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

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

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

Type A Large urban setting with an average of 10 salaried and 25 volunteer firemen.

Type B Small town setting with an average of 6-10 salaried and 25 volunteer firemen.

Type C Isolated rural settings with an average of 4 salaried and 25 volunteer firemen. (contd. on page 3)

B. ACADEMIC TRAINING ONLY: DEGREE OBJECTIVE

N/A

MAJOR FIELD OF STUDY

C. RELATED INFORMATION

See Following Pages

D. PARTICULAR EMPHASIS DESIRED

See Following Pages

E. SUGGESTED TRAINING FACILITIES (//) (X)

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

F. PARTICIPANT'S FUTURE EMPLOYMENT

A. CHECK APPROPRIATE BOX (B47)

GOVERNMENT

PRIVATE

JOINT

B. OCCUPATIONAL  
CATEGORY CODE  
(B48-49)

AID 1360-1 (12-79)

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

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

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

Training Objectives:

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

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

Orientation Responsibilities:

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

Selection Responsibilities:

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

PARTICIPANTS:

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

## I. TECHNICAL TRAINING OBJECTIVES

To the extent possible, the firemen are to receive "hands on" training.

### Training Objectives:

1. To provide the participants with knowledge of the organization and management of small fire departments, effective methods of dealing with range/forest fires, planning and prevention of fires in small towns, and the use and maintenance of firefighting equipment. Rural fire departments in small towns and communities where range/forest fires are a seasonal problem are to be chosen for this training component.
2. Provide training in the theory and practice of community outreach programs, teach the participants to develop materials for fire prevention programs, and assist the participants to establish relationships with U.S. fire departments, educational institutions and other related groups. It is anticipated that Country A firemen will have the opportunity to work along side of U.S. counterparts.

The project implementor will assure that most of the training described in this section will take place in small fire stations in order to foster intercultural relationships and expose the candidates to U.S. citizens in their work environments.

The project implementor will have the opportunity to visit Country A prior to initiation of the training project in order to finalize the design of the training. At this time the implementor shall present to the Mission an outline of the training modules to be covered in the eight weeks for discussion with Mission staff and representatives of the National Fire Department.

## II. CULTURAL TRAINING OBJECTIVES:

1. To provide the participants with an understanding of the United States through special programs and activities that are interwoven with technical training. This component is to include political, historical, economic, social, and cultural background information about the United States.

The five day program offered by the Washington International Center can fulfill a part of the training objective, and if used, should be included at the beginning of the training project.

The training implementor is responsible for assuring that political, historical, economic, social and cultural elements are included in the training program. It is

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

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

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

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

### III. OTHER GENERAL TRAINING CONSIDERATIONS AND INFORMATION:

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

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

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

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

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

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

BACKGROUND:

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

PREDEPARTURE SCOPE OF WORK:

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

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

## G. Training Cost Analysis (TCA) Instructions and Sample Forms

### INTRODUCTION

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

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

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

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

Missions will:

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

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

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

- Education and Training
- Allowances
- Travel
- Insurance

- Supplemental Activities
- Administrative Costs;

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

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

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

Contractors will be required to:

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

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

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

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

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

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

## IDENTIFICATION OF APPROPRIATE ACTIVITIES FOR CLASP II PARTICIPANTS

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

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

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

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

### Examples of Pre-program activities:

- recruitment
- screening
- pre-departure orientation

### Examples of In-program activities:

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

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

## PREPARING A BUDGET ESTIMATE USING TRAINING COST ANALYSIS

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

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

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

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

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

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

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

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

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

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

## PREPARING A PROPOSAL WORKSHEET USING TRAINING COST ANALYSIS

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

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

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

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

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

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

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

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

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

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

## REPORTING EXPENSES AGAINST CONTRACT BUDGETS, USING TRAINING COST ANALYSIS

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

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

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

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

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

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

## GLOSSARY OF TRAINING COSTS ANALYSIS (TCA) TERMS

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

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

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

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

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

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

Participant Training Notices on allowances are available from:

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

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

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

**Cooperative Training:** (See Internship/Cooperative

Tri

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

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

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

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

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

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

**Equipment, Contractor:** (See Federal Acquisition Regulations)

**Escort Services:** (See Interpreter and Escort Services)

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

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

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

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

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

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

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

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

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

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

**Professional Enrichment:** (See Enrichment Programs)

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

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

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

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

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

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

**Reporting/Monitoring:** (See Monitoring/Reporting)

**Salaries:** (See Federal Acquisition Regulations)

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

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

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

**Social/Professional Enrichment:** (See Enrichment Programs)

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

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

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

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

Attachment 2

Instructions:

**CHECKLIST OF ACTIVITIES  
IN THE PARTICIPANT TRAINING PROCESS**

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

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

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

# CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

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

## PRE-PROGRAM

	Host Country	Mission	OIT	Contractor	Other
<b>I. Recruitment, Including:</b>					
○ Media advertisement and training announcements	<input type="checkbox"/>				
○ Visits to local agencies	<input type="checkbox"/>				
○ Preliminary interviews	<input type="checkbox"/>				
<b>II: Screening &amp; Selection, Including:</b>					
○ Developing selection criteria	<input type="checkbox"/>				
○ ELT language screening, testing, & other exams	<input type="checkbox"/>				
○ Applications	<input type="checkbox"/>				
○ Interviewing	<input type="checkbox"/>				
○ Reviewing credentials	<input type="checkbox"/>				
○ Committee	<input type="checkbox"/>				
<b>III. Testing (Host Country and U.S.), Including:</b>					
○ TOEFL/ALIGU	<input type="checkbox"/>				
○ Graduate Records (GRE)	<input type="checkbox"/>				
○ Scholastic Aptitude (SAT)	<input type="checkbox"/>				
<b>IV. Documentation (Host Country and U.S.), Including:</b>					
○ PIO/P and bio data	<input type="checkbox"/>				
○ Transcripts	<input type="checkbox"/>				
○ Test Results	<input type="checkbox"/>				
○ Letters of reference	<input type="checkbox"/>				
○ Medical exam (clearance)	<input type="checkbox"/>				
○ IAP 66A (blue copy)	<input type="checkbox"/>				
○ PDF - Establish record	<input type="checkbox"/>				
<b>V. Programming (Host Country and U.S.), Including:</b>					
○ Analyzing credentials	<input type="checkbox"/>				
○ Selecting training institution	<input type="checkbox"/>				
○ Developing Training Implementation Plan (TIP)	<input type="checkbox"/>				
○ Arranging for program termination and departure	<input type="checkbox"/>				

1 of 62

124

# CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

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

**PRE-PROGRAM (cont.)**

- VI. Placement (Host Country and U.S.), Including:**
- o Negotiating participant's enrollment
  - o Determining remedial training needs
  - o Arranging housing and developing a meal plan

**VII. Allowance Payments**

- VIII. Pre-Departure Orientation, Including:**
- o Administrative Orientation
  - o Cultural Orientation

- IX. Training (Host Country and U.S.), Including:**
- o English Language Training (ELT)
  - o Remedial math/science training
  - o Academic (long-term) training
  - o Technical (short-term) training

**IN-PROGRAM**

- X. Reception Service, Including:**
- o Meeting at international airport & transportation to hotel

- XI. Interpreter and Escort Services, Including:**
- o Short-term training or observation tour

- XII. Orientation, Including:**
- o Cultural orientation
  - o Administrative orientation
  - o Academic program orientation

	Host Country	Missia	OTI	Contractor	Other
VI. Placement (Host Country and U.S.), Including:					
o Negotiating participant's enrollment	<input type="checkbox"/>				
o Determining remedial training needs	<input type="checkbox"/>				
o Arranging housing and developing a meal plan	<input type="checkbox"/>				
VII. Allowance Payments	<input type="checkbox"/>				
VIII. Pre-Departure Orientation, Including:					
o Administrative Orientation	<input type="checkbox"/>				
o Cultural Orientation	<input type="checkbox"/>				
IX. Training (Host Country and U.S.), Including:					
o English Language Training (ELT)	<input type="checkbox"/>				
o Remedial math/science training	<input type="checkbox"/>				
o Academic (long-term) training	<input type="checkbox"/>				
o Technical (short-term) training	<input type="checkbox"/>				
X. Reception Service, Including:					
o Meeting at international airport & transportation to hotel	<input type="checkbox"/>				
XI. Interpreter and Escort Services, Including:					
o Short-term training or observation tour	<input type="checkbox"/>				
XII. Orientation, Including:					
o Cultural orientation	<input type="checkbox"/>				
o Administrative orientation	<input type="checkbox"/>				
o Academic program orientation	<input type="checkbox"/>				

12 of 62

195

# CHECKLIST OF ACTIVITIES IN THE PARTICIPANT TRAINING PROCESS

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

**IN-PROGRAM (cont.)**

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

13 of 62

126x  
AID 1387.0 (4/66) P. 11

Attachment 3

Instructions:  
BUDGET ESTIMATE WORKSHEET  
ACADEMIC OR TECHNICAL COST

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

General Instructions:

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

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

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

Make budget estimates in U.S. dollars.

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

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

Specific Line Item Instructions:

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

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

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

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

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

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

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

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

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

**Instructions:**  
**BUDGET ESTIMATE WORKSHEET**  
**SUMMARY**

**General Instructions:**

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

**Specific Line Item Instructions:**

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

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

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

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

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

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

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

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

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

Compute totals for other years in a similar manner.

1284

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

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

- Academic  
 Technical

<b>PROJECT TITLE</b>	<b>PROJECT NUMBER</b>	<b>PROJECT YEAR</b> ____ of ____ Years
<b>PROJECT WRITER</b>	<b>PARTICIPANT MONTHS PROJECTED (THIS YEAR)</b>	<b>DATE BUDGET PREPARED</b>
<b>COMMENTS:</b>		

**I. PARTICIPANT COST**

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

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

129

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

Academic  
 Technical

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

PROJECT NUMBER

COMMENTS:

**I. PARTICIPANT COST**

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

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

17 of 62

1990



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

Academic  
 Technical

<b>PROJECT NUMBER</b>	<b>COMMENTS:</b>
-----------------------	------------------

**II. ADMINISTRATIVE COST**

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

132

**BUDGET ESTIMATE WORKSHEET: Summary**  
**Training Cost Analysis (TCA)**

\*\*SEE "Instructions: Budget Estimate Worksheet - Summary"\*\*

Academic

Technical

PROJECT NUMBER

COMMENTS:

**I. PARTICIPANT COST - SUMMARY**

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

00  
5  
5

133



**BUDGET ESTIMATE WORKSHEET: Summary**  
**Training Cost Analysis (TCA)**

Academic  
 Technical

PROJECT NUMBER

COMMENTS:

**II. ADMINISTRATIVE COST**

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

136

## Attachment 4

### Instructions:

## PROPOSAL WORKSHEET

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

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

### General Instructions:

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

### Specific Line Item Instructions:

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

estimate is for academic or technical training.

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

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

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

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

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

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

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

136

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

\*\*SEE "Instructions: Proposal Worksheet" \*\*

- Academic  
 Technical

<b>PROJECT TITLE</b>	<b>RFP NUMBER</b>	<b>PROJECT YEAR</b> ____ Of ____ Years
<b>IMPLEMENTOR/CONTRACTOR</b>	<b>PARTICIPANT MONTHS PROJECTED (THIS YEAR)</b>	<b>DATE PREPARED</b>
<b>COMMENTS:</b>		

**I. PARTICIPANT COST**

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

1397

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

\*\*SEE "Instructions: Proposal Worksheet"

Academic

Technical

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

**I. PARTICIPANT COST**

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

12/26



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

Academic  
 Technical

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

**II. ADMINISTRATIVE COST**

PROGRAM CATEGORIES/ TRAINING ACTIVITIES	PERSON MONTHS	TOTAL COST	PROGRAM CATEGORIES/ TRAINING ACTIVITIES	PERSON MONTHS	TOTAL COST
<b>II.F. Administrative Costs</b>		\$			\$
<b>1. Salaries (Total)</b>			<b>4. Consultant Fees (Total)</b>		
<b>a. Professional</b>			<b>a. United States</b>		
<b>i. U.S.</b>			<b>b. Field</b>		
<b>ii. Field</b>			<b>5. Equipment</b>		
<b>b. Support Staff</b>			<b>6. Sub-Contracts</b>		
<b>i. U.S.</b>			<b>7. Indirect Costs</b>		
<b>ii. Field</b>			<b>8. Other (Mission Option)</b>		
<b>2. Fringe Benefits</b>					
<b>3. Travel (Total)</b>					
<b>a. International</b>					
<b>b. Local</b>					

**Total Administrative Cost, Item II.F. above:** \$ \_\_\_\_\_

**TOTAL TRAINING COSTS (Total Participant Costs from Previous Page + Line II.F.)** \$ \_\_\_\_\_

oh/

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

\*\* SEE "Instructions: Analysis Worksheet" on Reverse \*\*

Academic  
 Technical

<b>PROJECT TITLE</b>	<b>PROJECT NUMBER</b>
<b>EVALUATOR</b>	<b>DATE</b>

<b>NAME OF OFFEROR:</b>	<b>PROPOSAL A</b>	<b>PROPOSAL B</b>	<b>PROPOSAL C</b>	<b>AID ESTIMATE</b>
-------------------------	-------------------	-------------------	-------------------	---------------------

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

141

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

Academic  
 Technical

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

PROJECT TITLE	PROJECT NUMBER
EVALUATOR	DATE

NAME OF OFFEROR:	PROPOSAL A	PROPOSAL B	PROPOSAL C	AID ESTIMATE
------------------	------------	------------	------------	--------------

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

1427

Attachment 6

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

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

<b>PROJECT TITLE</b>	<b>PROJECT NUMBER</b>	<b>IMPLEMENTOR</b>
<b>CONTRACT QUARTER</b> _____ of _____	<b>REPORT PERIOD</b>	<b>DATE</b>

**I. PARTICIPANT TRAINING COSTS**

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

**THIS QUARTER:**

Number of Participant Months Projected: \_\_\_\_\_

Number of Participant Months Completed: \_\_\_\_\_

**TOTAL PROJECT:**

Number of Participant Months Projected: \_\_\_\_\_

Number of Participant Months Completed: \_\_\_\_\_

1/23

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

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

<b>PROJECT TITLE</b>	<b>PROJECT NUMBER</b>	<b>IMPLEMENTOR</b>
<b>CONTRACT QUARTER</b> _____ of _____	<b>REPORT PERIOD</b>	<b>DATE</b>

**I. PARTICIPANT TRAINING COSTS**

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

**THIS QUARTER:**

Number of Participant Months Projected: \_\_\_\_\_

Number of Participant Months Completed: \_\_\_\_\_

**TOTAL PROJECT:**

Number of Participant Months Projected: \_\_\_\_\_

Number of Participant Months Completed: \_\_\_\_\_

**IMPORTANT: SPECIFY PROGRAM TYPE**  
(Check Only One Category)

Classroom Training

Observation Tour

On-the-Job Training

144



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

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

<b>PROJECT TITLE</b>	<b>PROJECT NUMBER</b>	<b>IMPLEMENTOR</b>
<b>CONTRACT QUARTER</b> _____ of _____	<b>REPORT PERIOD</b>	<b>DATE</b>

**II. ADMINISTRATIVE COSTS**

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

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

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

**Instructions:  
QUARTERLY REPORT**

The Quarterly Report is provided by the implementor/contractor. The format of this report is essentially the same as those of the Budget Estimate Worksheet and the Proposal Worksheet with tracking columns for budget monitoring.

The Quarterly Report lists (1) budgeted amounts by program activity [i.e., by budget line item], (2) that amount of the budget proposed for the quarter under report, (3) the amount actually spent during the quarter, (4) the cumulative expenditure to date, (5) the balance of the line item budget left unspent, and (6) the percentage of the budget that had been spent at the end of the reporting period. NOTE: These budget items are also reported as "Special Tracking Items" on page 2 of the Quarterly Report for special review. Later, the format for page 2 will allow for special tracking of any cost elements using the standard codes for those elements.

The first data column reflects the final negotiated contract amounts — different from the corresponding figures on the budget estimate and proposal worksheets to the extent that contract negotiations altered those numbers. Contractor should make an annual (life of project) projection of quarterly training costs, then each quarters' projection is entered in this column.

The second data column shows the amount of each budget line item projected to be spent during the quarter under report; the third data column reports the actual amount spent.

Data column "Expended to Date," presents the cumulative expenditure as of the end of the reporting period. The "Balance Remaining" (data column 5) is the "Budget" figure minus "Expended to Date."

The last data column, "% of Budget," shows the percentage of the budget line item spent at the close of the reporting period. It is computed by dividing the "Expended to Date" figures by their corresponding "Budget" figures.

*(NOTE: For a cost item expected to be evenly spread over the contract period, the "% of Budget" figure should correspond to the percentage obtained by dividing the "Contract Quarter" under report by the contract life (in quarters) shown in the "Contract Quarter: \_\_\_\_\_ of \_\_\_\_\_" space.)*

The last two lines provide measures of projected and actual participant months for both the quarter being reported and the project to date.

147



## INSTRUCTIONS FOR COMPLETING CLASP TCA SUMMARY REPORT

**PURPOSE:** The purpose of this form is to provide CLASP Project Officers and AID Managers with summary cost (expenditure) information on CLASP activities. The form will be requested annually for all contractors and may be requested by Project Officers as needed.

**GENERAL:** Use as many sheets as necessary. Use separate sheets for Academic and Technical Training and total last sheet only for each.

1. **Date:** Note the date of submission in the "date" box.

2. **Academic or Technical:** Check if this sheet contains Academic or Technical programs. **DO NOT INCLUDE ACADEMIC AND TECHNICAL PROGRAM INFORMATION ON THE SAME SHEET.**

3. **Period of this report:** Note the period covered by this report. Usually this will be from beginning of contract to present.

4. **Contract Number:** Write your contract number in the indicated space.

5. **Contractor:** Write your firm's name in the indicated space.

6. **USAID:** USAID or other AID Office of your Project Officer.

7. **Country:** Country of training (separate sheet for separate countries).

8. **PIO/P Number or Group Name:** Give the PIO/P number if available. If the group is in-country and does not have a PIO/P number, provide your own identifier for the group or individual. Groups of academic Trainees in in-country training may be grouped together for this report.

**IMPORTANT NOTE** The in-country (field) portion of training is reported separately from the U.S. portion. Never include information on in-country and US training on the same line. When a group or individ-

ual comes to the U.S., they should be reported as a totally separate notation.

9. **Field or U.S.:** Check one only (see note above).

10. **Number of Trainees in Group:** self explanatory.

11. **Training dates:** Report beginning and end dates of training for field and US training programs. If unknown, give best estimate of end date.

12. **HBCU CONTENT:** Check if any significant portion of this training program conducted in an Historical Black College or University (HBCU).

13. **Training Objective:** Note the group/individual's training objective using the abbreviations at the foot of the form. Choose the training objective which is most relevant.

14. **Program Budgets:** Report budgets for each program.

15. **Program Expenditures:** Report expenditures to date for each program.

**NOTE:** Definitions of program cost categories follow AID's Office of International Training (OIT) guidelines. OIT Training Cost Analysis (TCA) publications provide definitions. Program costs include 1) education/training costs; 2) Allowances as specified in Handbook 10; 3) Travel; 4) Insurance; and 5) Supplemental activities.

16. **Major training sites (states):** List abbreviations of states where significant training took place.

17. **Total Program Costs:** Sum Program Budgets and Program Expenditures columns

18. **Total U.S. Administrative Expenditures:** Use OIT's guidelines for reporting administrative costs. These costs include your staff salaries, fringe benefits, overhead (indirect), your staff travel, material and equipment except that purchased for Trainees, any subcontracts or consultants used, and profit/fee.

67

**DRAFT**

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

DIN 1

**INSTRUCTIONS FOR COMPLETING  
TRAINING IMPLEMENTATION PLAN (TIP)  
BUDGET**

**PURPOSE:** The purpose of this sheet is to provide Project Officers and Training Officers cost information needed for project management. This form will become an important part of Mission records which are maintained by PIO/P.

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

1. Academic or Technical: Check the appropriate box.
2. Project Number: Self-explanatory.
3. PIO/P Number: Note the PIO/P number if known. If not known note your own identifier in this space so that this form can be traced to a particular PIO/P at a later date.
4. Date: Date of submission.
5. Number of Trainees in group: Self-explanatory.
6. Training dates for the PIO/P: Note beginning and end dates of training. If end date is not known provide a reasonable estimate. When end date becomes available, modify this item on the next report.
7. Program Categories/Training Activities: As defined by AID's Office of International Training (OIT) in the Training Cost Analysis (TCA) instructions.
8. Budgeted: Original budget for each relevant line item.
9. Budget Amendment: When it is determined that an activity or category will vary significantly from the original budget, note the new TOTAL amount in this column.
10. Expended: Provide expenditures as of the date covered in the report.
11. Remainder: Budgeted (or amended budget) less expenditures.

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

PROJECT TITLE  
 CLASP II

PROJECT WRITER

PROJECT NUMBER  
 125-2687.10

PARTICIPANT MONTHS PROJECTED  
 (THIS YEAR) 63

(X) ACADEMIC  
 (X) TECHNICAL

TOTAL PROJECT  
 3.00 YEARS

DATE BUDGET PREPARED  
 06/16/1989

COMMENTS:

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

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
<b>A. Education/Training Cost</b>					
1. Tuition/Fees	1	\$ 14,277.86	20	\$ 60,000.00	\$ 74,277.86
2. Training Costs	1	\$ 14,277.86			\$ 14,277.86
3. Package Program Costs					
4. Other (Mission Option)			20	\$ 60,000.00	\$ 60,000.00
<b>B. ALLOWANCES</b>					
1. Maintenance Advance	1	\$ 21,885.90	20	\$ 48,900.00	\$ 70,785.90
2. Living/Maintenance	1	\$ 1,950.00	20	\$ 39,000.00	\$ 40,950.00
3. Per Diem	1	\$ 16,192.96			\$ 16,192.96
4. Books & Equipment	1	\$ 852.36	20	\$ 7,500.00	\$ 8,352.36
5. Book Shipment	1	\$ 1,568.63	20	\$ 1,200.00	\$ 2,768.63
6. Typing (papers) - Academic Only	1	\$ 129.79	20	\$ 1,200.00	\$ 1,329.79
7. Thesis - Academic Only	1	\$ 624.32			\$ 624.32
8. Doctoral Dissertation - Academic	1	\$ 324.48			\$ 324.48
9. Professional Membership					
10. Other (Mission Option)	1	\$ 243.36			\$ 243.36

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

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

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 1125-3687.10

COMMENTS

**1. PARTICIPANT COST - SUMMARY**

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC		TRAINING		TECHNICAL		TRAINING		LINE TOTAL
	Number of Participants	Item Cost							
<b>C. Travel</b>									
1. International	1	1,352.80			20	10,000.00			11,352.80
2. Local									
3. Other (Mission Option)	1	1,352.80			20	10,000.00			11,352.80
<b>D. Insurances</b>									
1. HAC for U.S.	1	820.52			20	1,360.00			2,180.52
2. Required by Institution	1	820.52			20	1,360.00			2,180.52
3. Other (Mission Option)									
<b>E. Supplemental Activities</b>									
1. ELT, In-Country	1	1,317.00			20	24,500.00			25,817.00
2. ELT, U.S.									
3. Academic Up-Grade	1	380.00							380.00
4. Reception Services									
5. WIC Orientation					20	4,000.00			4,000.00
6. Other Orientation	1	325.00			20	6,500.00			6,825.00
7. Interpreters/Escorts									
8. Internship/Cooperative					20	24,000.00			24,000.00
9. Enrichment Program									

\* Items are standard measures for the cost element (e.g., participants, participant work, etc.)

39 of 62

153

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

( ) ACADEMIC  
 (X) TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC		TRAINING		TECHNICAL		LINE TOTAL
	Number of Participants	Item Cost	Number of Participants	Item Cost	Number of Participants	Item Cost	
10. Mid-Winter Community Seminars							
11. Follow-Up/Career Development	1		18	612.00			612.00
12. Other (Mission Option)							

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 144,814.00

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

AID 1782-10 (F/RB) Form

154

BUDGET ESTIMATE WORKSHEET: Summary  
 Training Cost Analysis (TCA)  
 \*\* S.E. "Instructions: Budget Estimate Worksheet - Summary" \*\*

PROJECT TITLE  
 CLASS JJ  
 PROJECT WRITER

PROJECT NUMBER  
 125-3687.10

(X) ACADEMIC  
 (X) TECHNICAL  
 PROJECT YEAR  
 1 of 3, 00 Years  
 DATE BUDGET PREPARED  
 6/16/1989

COMMENTS:

Summary for Year 1 for 1 Academic and 20 Technical Participants. ( Participant Costs)

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
<b>A. Education/Training Cost</b>					
1. Tuition/Fees	1	2,850.00	20	60,000.00	62,850.00
2. Training Costs	1	2,850.00			2,850.00
3. Package Program Costs					
4. Other (Mission Option)			20	60,000.00	60,000.00
<b>B. ALLOWANCES</b>					
1. Maintenance Advance	1	4,120.00	20	48,900.00	53,020.00
2. Living/Maintenance	1	1,950.00	20	39,000.00	40,950.00
3. Per Diem	1	1,400.00			1,400.00
4. Tools & Equipment	1	375.00	20	7,500.00	7,875.00
5. Book Stipend	1	195.00	20	1,200.00	1,395.00
6. Typing (papers) - Academic Only	1	200.00	20	1,200.00	1,400.00
7. Thesis - Academic Only					200.00
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

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

41 of 67

156

PROJECT NUMBER  
125-3687.10

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

ACADEMIC  
 TECHNICAL

COMMENTS

PROGRAM CATEGORIES/TRAINING ACTIVITIES

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC		TRAINING		TECHNICAL		LINE TOTAL
	Number of Participants	Item Cost	Number of Participants	Item Cost	Number of Participants	Item Cost	
<b>C. Travel</b>							
1. International	1	\$ 500.00	20	\$ 10,000.00			10,500.00
2. Local					20	\$ 10,000.00	10,500.00
3. Other (Mission Option)	1	\$ 500.00					
<b>D. Insurances</b>							
1. HAC for U.S.	1	\$ 102.00	20	\$ 1,360.00			1,462.00
2. Required by Institution	1	\$ 102.00			20	\$ 1,360.00	1,462.00
3. Other (Mission Option)							
<b>E. Supplemental Activities</b>							
1. ELT, In-Country	1	\$ 1,005.00	20	\$ 24,500.00			25,505.00
2. ELT, U.S.							
3. Academic Up-Grade	1	\$ 380.00					380.00
4. Reception Services							
5. WIC Orientation			20	\$ 4,000.00			4,000.00
6. Other Orientation	1	\$ 325.00	20	\$ 6,500.00			6,825.00
7. Interpreters/Escorts							
8. Internship/Cooperative			20	\$ 24,000.00			24,000.00
9. Enrichment Program							

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

42 of 62

156

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

PROJECT TITLE CLASP II	PROJECT NUMBER 125-3687.10	( ) ACADEMIC ( ) TECHNICAL
PROJECT WRITER	PARTICIPANT MONTHS PROJECTED (THIS YEAR) 12	PROJECT YEAR 2 OF 3 Years
COMMENTS:		DATE BUDGET PREPARED 06/16/1989

Summary for Year 2 for 1 Academic and 20 Technical Participants. (Participant Costs)

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
<b>A. Education/Training Cost</b>					
1. Tuition/Fees	1	7,102.00			7,102.00
2. Training Costs		7,102.00			7,102.00
3. Package Program Costs					
4. Other (Mission Option)					
<b>B. ALLOWANCES</b>					
1. Maintenance Advance	1	9,989.20			9,989.20
2. Living/Maintenance	1	8,726.00			8,726.00
3. Per Diem	1	234.00			234.00
4. Tools & Equipment	1	811.20			811.20
5. Book Shipment					
6. Typing (papers) - Academic Only	1	208.00			208.00
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

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

44 of 62

157+

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

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
<b>C. Travel</b>					
1. International	1	312.00			312.00
2. Local					
3. Other (Mission Option)	1	312.00			312.00
<b>D. Insurances</b>					
1. MAC for U.S.	1	424.32			424.32
2. Required by Institution	1	424.32			424.32
3. Other (Mission Option)					
<b>E. Supplemental Activities</b>					
1. ELT, In-Country	1	312.00			312.00
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WJC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

\* Units are standard measures for the cost element (i.e., participants, etc.)

45 of 62

154

BUDGET ESTIMATE WORKSHEET, SUMMARY  
 Training Cost Analysis (TCA)  
 as EEE "Instructions: Budget Estimate Worksheet - Summary" as

PROJECT NUMBER  
 125-2687.10

( ) ACADEMIC  
 (X) TECHNICAL

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES

	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars	1	16			
11. Follow-Up/Career Development					
12. Other (Mission Option)					
		312.00			312.00

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 10,126.52

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

BUDGET ESTIMATE WORKSHEET: Summary  
Training Cost Analysis (TCA)

SEE "Instructions: Budget Estimate Worksheet - Summary"

PROJECT TITLE  
CLASP II

PROJECT WRITER

PROJECT NUMBER  
125-3687.10

PARTICIPANT MONTHS PROJECTED (THIS YEAR)  
8

(X) ACADEMIC  
(X) TECHNICAL

PROJECT YEAR  
3 of 3,000 Years

DATE BUDGET PREPARED  
06/16/1969

COMMENTS:

Summary for Year 3 for 1 Academic and 20 Technical Participants (Participant Costs)

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
<b>A. Education/Training Cost</b>					
1. Tuition/Fees	1	4,325.86			4,325.86
2. Training Costs	11	4,325.86			4,325.86
3. Package Program Costs					
4. Other (Mission Option)					
<b>B. ALLOWANCES</b>					
1. Maintenance Advance	1	7,776.70			7,776.70
2. Living/Maintenance	1	6,056.96			6,056.96
3. Per Diem	1	243.36			243.36
4. Tools & Equipment	1	562.43			562.43
5. Book Equipment	1	129.79			129.79
6. Typing (papers) - Academic Only	1	216.32			216.32
7. Thesis - Academic Only	1	324.48			324.48
8. Doctoral Dissertation - Academic	1	243.36			243.36
9. Professional Membership					
10. Other (Mission Option)					

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

47 of 62

100

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

(A) ACADEMIC  
 (X) TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

I. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC		TRAINING		TECHNICAL		LINE TOTAL
	Number of Participants	Units	Item Cost	Units	Number of Participants	Item Cost	
<b>C. Travel</b>							
1. International	1	16	540.80				540.80
2. Local							
3. Other (Mission Option)	1	16	540.80				540.80
<b>D. Insurances</b>							
1. MAC for U.S.	1	16	294.20				294.20
2. Required by Institution	1	16	294.20				294.20
3. Other (Mission Option)							
<b>E. Supplemental Activities</b>							
1. ELT, In-Country							
2. ELT, U.S.							
3. Academic Up-Grade							
4. Reception Services							
5. WIC Orientation							
6. Other Orientation							
7. Interpreters/Escorts							
8. Internship/Cooperative							
9. Enrichment Program							

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

48 of 62

161X

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

(X) ACADEMIC  
 ( ) TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

1. PARTICIPANT COST - SUMMARY

PROGRAM CATEGORIES/TRAINING ACTIVITIES	ACADEMIC Number of Participants	TRAINING Item Cost	TECHNICAL Number of Participants	TRAINING Item Cost	LINE TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

12,677.06

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

AD OF 69

125

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

•• SEE "Instructions Budget Estimate Worksheet" ••

PROJECT TITLE  
 CLASP II, FIREFIGHTERS

PROJECT WRITER

PROJECT NUMBER  
 1325-3687.10

( ) ACADEMIC  
 (X) TECHNICAL

PROJECT YEAR  
 1 of 3 (or) Years

PARTICIPANT MONTHS PROJECTED  
 (THIS YEAR) 40

DATE BUDGET PREPARED  
 06/16/1989

COMMENTS:

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>A. Education/Training Cost</b>	20				
1. Tuition/Fees					60,000.00
Regular Session	20	1	.00	.00	
Summer Session					
2. Training Costs					
3. Package Program Costs	20		3,000.00	60,000.00	
4. Other (Mission Option)					
<b>B. ALLOWANCES</b>	20				48,900.00
1. Maintenance Advance	20		1,950.00	39,000.00	
2. Living/Maintenance					
3. Per Diem	20	5	75.00	7,500.00	
4. Books & Equipment	20	2	60.00	1,200.00	
5. Book Shipment	20		60.00	1,200.00	
6. Typing (papers) - Academic Only					
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

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

50 of 62

165

BUDGET ESTIMATE WORKSHEET: Academic or Technical COBES  
 Training Cost Analysis (TCA)  
 \*\* SEE "Instructions: Budget Estimate Worksheet" \*\*

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>C. Travel</b>	20				
1. International					10,000.00
2. Local	20				
3. Other (Mission Option)			500.00	10,000.00	
<b>D. Insurances</b>	20				
1. HAC for U.S.	20				1,260.00
2. Required by Institution		2	34.00	1,260.00	
3. Other (Mission Option)					
<b>E. Supplemental Activities</b>	20				
1. ELT, In-Country					34,500.00
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services	20				
5. NIC Orientation	20		200.00	4,000.00	
6. Other Orientation	20		325.00	6,500.00	
7. Interpreters/Escorts	20				
8. Internship/Cooperative			1,200.00	24,000.00	
9. Enrichment Program					

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

51 of 62

104

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 1325-3687.10

COMMENTS

J. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 154,760.00

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

52 of 62

1657

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

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

ACADEMIC  
 TECHNICAL

PROJECT TITLE  
 CLASP II, AQUACULTURE

PROJECT NUMBER  
 1125-3687.10

PROJECT YEAR  
 1 of 3.00 Years

PROJECT WRITER  
 FA

PARTICIPANT MONTHS PROJECTED  
 (THIS YEAR) 3

DATE BUDGET PREPARED  
 06/16/1989

COMMENTS:

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>A. Education/Training Cost</b>					
1. Tuition/Fees Regular Session	1				2,850.00
Summer Session	1	1	2,850.00	2,850.00	
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
<b>B. ALLOWANCES</b>					
1. Maintenance Advance	1				4,120.00
2. Living/Maintenance	1	2	700.00	1,400.00	
3. Per Diem	1	5	75.00	375.00	
4. Books & Equipment	1	3	65.00	195.00	
5. Book Shipment					
6. Typing (papers) - Academic Only	1		200.00	200.00	
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

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

53 of 62

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
125-3687-10

COMMENTS

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>C. Travel</b>	1				500.00
1. International					
2. Local	1		\$ 500.00	\$ 500.00	
3. Other (Mission Option)					
<b>D. Insurances</b>	1				102.00
1. MAC for U.S.	1	3	\$ 34.00	\$ 102.00	
2. Required by Institution					
3. Other (Mission Option)					
<b>E. Supplemental Activities</b>	1				1,005.00
1. ELT, In-Country					
2. ELT, U.S.	1		\$ 380.00	\$ 380.00	
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation	1		\$ 325.00	\$ 325.00	
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

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

54 of 62

1607

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars	1				
11. Follow-Up/Career Development			\$ 200.00	\$ 200.00	
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

\$ 8,577.00

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

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT TITLE  
 CLASP II, AQUACULTURE

PROJECT NUMBER  
 1125-3687.10

PROJECT YEAR  
 2 OF 3.00 Years

PROJECT WRITER

PARTICIPANT MONTHS PROJECTED (THIS YEAR)  
 12

DATE BUDGET PREPARED  
 06/16/1989

COMMENTS:

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>A. Education/Training Cost</b>	1				7,102.00
1. Tuition/Fees					
Regular Session	1	2	\$ 3,021.00	\$ 6,042.00	
Summer Session	1	1	\$ 1,060.00	\$ 1,060.00	
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
<b>F. ALLOWANCES</b>	1				9,459.20
1. Maintenance Advance					
2. Living/Maintenance	1	12	\$ 728.00	\$ 8,736.00	
3. Per Diem	1	3	\$ 78.00	\$ 234.00	
4. Tools & Equipment	1	12	\$ 67.60	\$ 811.20	
5. Book Shipment					
6. Typing (papers) - Academic Only			\$ 208.00	\$ 208.00	
7. Thesis - Academic Only					
8. Doctoral Dissertation - Academic					
9. Professional Membership					
10. Other (Mission Option)					

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

56 of 62

169

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT NUMBER

125-3687.10

COMMENTS

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES

NUMBER OF PARTICIPANTS

NUMBER OF UNITS

UNIT PRICE

ISUBTOTAL

TOTAL

C. Travel

1. International

2. Local

3. Other (Mission Option)

D. Insurances

1. HAC for U.S.

2. Required by Institution

3. Other (Mission Option)

E. Supplemental Activities

1. ELT, In-Country

2. ELT, U.S.

3. Academic Up-Grade

4. Reception Services

5. WIC Orientation

6. Other Orientation

7. Interpreters/Escorts

8. Internship/Cooperative

9. Enrichment Program

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

57 of 62

170

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

•• SEE "Instructions: Budget Estimate Worksheet" ••

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 125-3487-10

COMMENTS

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES

NUMBER OF PARTICIPANTS

NUMBER OF UNITS

UNIT PRICE

EUR TOTAL

TOTAL

10. Mid-Winter Community Seminars

1

11. Follow-Up/Career Development

16

212.00

16

312.00

12. Other (Mission Option)

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

18,129.52

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

BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs  
 Training Cost Analysis (TCA)  
 \*\* SEE "Instructions: Budget Estimate Worksheet" \*\*

ACADEMIC  
 TECHNICAL

PROJECT TITLE  
 CLASP II, ADIACULTURE

PROJECT NUMBER  
 125-3687.10

PROJECT YEAR  
 3 of 3.00 Years

PROJECT WRITER

PARTICIPANT MONTHS PROJECTED (THIS YEAR)  
 8

DATE BUDGET PREPARED  
 06/16/1989

COMMENTS:

I. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>A. Education/Training Cost</b>	1				4,325.86
1. Tuition/Fees					
Regular Session	1	1	3,202.26	3,202.26	
Summer Session	1	1	1,123.60	1,123.60	
2. Training Costs					
3. Package Program Costs					
4. Other (Mission Option)					
<b>B. ALLOWANCES</b>	1				7,776.70
1. Maintenance Advance					
2. Living/Maintenance	1	8	757.12	6,056.96	
3. Per Diem	1	3	81.12	243.36	
4. Tools & Equipment	1	8	70.30	562.43	
5. Book Shipment	1		129.79	129.79	
6. Typing (papers) - Academic Only	1		216.32	216.32	
7. Thesis - Academic Only	1		324.48	324.48	
8. Doctoral Dissertation - Academic					
9. Professional Membership	1		243.36	243.36	
10. Other (Mission Option)					

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

59 of 62

241

**BUDGET ESTIMATE WORKSHEET: Academic or Technical Costs**  
**Training Cost Analysis (TCA)**  
 \*\* SEE "Instructions: Budget Estimate Worksheet" \*\*

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
 125-3687.10

COMMENTS

**1. PARTICIPANT COST**

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
<b>C. Travel</b>	1				540.80
1. International					
2. Local	1		540.80	540.80	
3. Other (Mission Option)					
<b>D. Insurances</b>	1				294.20
1. MAC for U.S.	1	8	36.77	294.20	
2. Required by Institution					
3. Other (Mission Option)					
<b>E. Supplemental Activities</b>					
1. ELT, In-Country					
2. ELT, U.S.					
3. Academic Up-Grade					
4. Reception Services					
5. WIC Orientation					
6. Other Orientation					
7. Interpreters/Escorts					
8. Internship/Cooperative					
9. Enrichment Program					

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

60 of 61

1734

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

SEE "Instructions: Budget Estimate Worksheet"

ACADEMIC  
 TECHNICAL

PROJECT NUMBER  
125-2687.10

COMMENTS

1. PARTICIPANT COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	NUMBER OF PARTICIPANTS	NUMBER OF UNITS	UNIT PRICE	SUBTOTAL	TOTAL
10. Mid-Winter Community Seminars					
11. Follow-Up/Career Development					
12. Other (Mission Option)					

TOTAL PARTICIPANT COSTS (A + B + C + D + E) =

12,937.56

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

KL

BUDGET ESTIMATE WORKSHEET: Summary  
Training Cost Analysis (TCA)

ACADEMIC  
 TECHNICAL

PROJECT TITLE  
CLASP II

PROJECT NUMBER  
125-3687.10

COMMENTS:

II. ADMINISTRATIVE COST

PROGRAM CATEGORIES/TRAINING ACTIVITIES	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
II.F. Administrative Costs	\$ 10,750	\$ 3,000	\$ 2,000			\$ 15,750
1. Salaries (Total)						
a. Professional						
i. U.S.						
ii. Field						
b. Support Staff						
i. U.S.						
ii. Field						
2. Fringe Benefits						
3. Travel (Total)						
a. International						
b. Local						
4. Consultant Fees (Total)						
a. United States						
b. Field						
5. Equipment						
6. Sub-Contracts						
7. Indirect Costs						
8. Other (Mission Option)						
<b>TOTAL FACILITANT COSTS (A+B+C+D+E+F)</b>	<b>\$ 174,087</b>	<b>\$ 21,129</b>	<b>\$ 14,927</b>			<b>\$ 210,143</b>

62 of 62

175

ANNEX H

# CLASP II IMPACT EVALUATION

INSIGHTS GAINED FROM A WORKSHOP HELD MAY 3 - 5, 1989

AND

AN EXAMINATION OF OPTIONS FOR CLASP II IMPACT EVALUATION  
DESIGN

**Marcia Bernbaum**  
**May, 1989**

176

## TABLE OF CONTENTS

	PAGE
BACKGROUND AND INTRODUCTION	1
A. INSIGHTS GAINED FROM THE WORKSHOP	2
B. OPTIONS FOR CLASP II IMPACT EVALUATION DESIGN	11
OPTION 1: A flexible, rolling design that is sensitive to field mission needs and at the same time provides AID/W, on a timely basis, with the data it needs for programmatic oversight purposes	12
1. Key characteristics	12
2. Sequence of activities under Option 1	16
3. Advantages of Option 1	21
4. What we would not get under Option 1	22
OPTION 2: A more formalized design which sets out quantitative parameters and targets and relies more on structured questionnaires and interviews	23
1. Key characteristics	23
2. Advantages of Option 2	23
3. What we would not get under Option 2	24
C. INCORPORATING CLASP I RETURNEES UNDER THE CLASP II IMPACT EVALUATION	24
TABLE 1: Illustrative list of Initial CLASP II Impact evaluation questions	14
ATTACHMENTS:	
1. Agenda for workshop	
2. Framework for CLASP II evaluation (process and impact) prepared prior to workshop	

## **BACKGROUND AND INTRODUCTION**

Over a three-day period, May 3-5, 1989, LAC/DR/EST sponsored a workshop to explore options for CLASP II Impact evaluation design. The workshop, held at the offices of the Academy for Educational Development (AED), was financed under a draw-down to the Central America Education Field Technical Support (CAEFTS) contract. Present at the workshop were three members of the CLASP II project design committee (myself, Joe Corney and Liz Warfield), a representative from OIT (Don Terrell), John Gillies, who is assisting in preparing the CLASP II PP model, two specialists in educational research/evaluation (Lee Cronbach and Donald Campbell), a statistician (Leslie Kish), and two ethnographers (Roy Chesterfield and Harold Levine). The agenda for the workshop is included as Attachment 1 to this document.

The workshop had three objectives:

1. Critique a proposed design for the CLASP II Impact evaluation prepared by Roy Chesterfield under a separate Technical Services Order (TSO) under the CAEFTS contract.
2. Inform the CLASP II Impact evaluation design process by asking several experts in the field to give us their opinions/guidance regarding the following:
  - Appropriate evaluation methodology (e.g. advisability/feasibility of introducing controls; need for pretests)
  - Appropriate sample frame and sampling methodologies, should we decide on a quantitative approach.
  - Appropriate instrumentation (e.g. pros and cons of using questionnaires, interviews, case studies)
  - Appropriate role for qualitative/ethnographic data collection procedures
3. Arrive at one or more options for CLASP II evaluation design that are methodologically sound, feasible, and affordable.

The workshop also provided an excellent opportunity to explore a series of related topics:

- Appropriate mix of process and impact evaluation methodologies.
- Appropriate time frame for longitudinal data collection (e.g. when is enough enough)
- Audiences for both the process and impact evaluation and the types of data these audiences will need

On the last day of the workshop each expert was asked to put himself in our shoes and propose an approach to CLASP II impact evaluation that would make sense given the design of CLASP II and the unique environment under which we are operating this program.

Reported below, in three sections, are: (1) key insights gained from the workshop that will be of use to us as we plan and implement our CLASP II impact evaluation design; (2) an outline of two options for the CLASP II impact evaluation, with our recommendation for the option that we think makes most sense given our needs; and (3) a consideration of procedures for tracking CLASP I returnees under the CLASP II impact evaluation.

#### **A. INSIGHTS GAINED FROM THE WORKSHOP**

Combining Ray Chesterfield's proposed evaluation design with the views of four experts, each in very different areas, turned out to be an ideal way to go. Through the workshop we were exposed to each of the expert's views; we were able to hear their views of each other's views; we were able to bounce our own ideas off of them and get their reactions; and most importantly arrive at some insights that have major implications for CLASP II evaluation design. These insights are as follows:

1. For our evaluation activities to be effective, we need to define up front who our audiences are and the types of questions they will have.

Defining, up front, who our audiences are, the types of questions they will have, what kind of information they will need, when and in what format they should receive this information are all critical first steps in the design of an evaluation. Without these ingredients in hand, the best of evaluations will have a high probability of either falling on its nose or being ignored.

Before the workshop I took a first crack at defining our audiences and the questions to be asked (Attachment 2). Basically, I identified three key audiences: our field missions, ourselves, and Congress. What I had not done was to think through which audiences would be most interested in which questions (i.e., where are our priorities).

By the end of the workshop I had reached the following conclusion which was not clear in my mind as we entered the workshop: for the majority of our impact related questions our most logical audiences are field missions (who have the most to gain from the results and the most leverage vis a vis their ability to make changes as a result of the evaluation) and ourselves in AID/W.

Congress, while an important user of data on adherence to policy guidance (e.g. percent disadvantaged, percent long-term), has not yet displayed any interest in impact related matters. The current general attitude on the Hill is that our participant training activities under CLASP are good, therefore what is there to evaluate? To attempt to anticipate and answer impact questions that might be of interest to Congress or that we think Congress should be interested in, runs the risk of investing a great deal of time and money in an evaluation for which there may not be an audience.

2. We should put our impact evaluation money where we can make an "impact"

Evaluation can be a very expensive process. Once we have identified the audience for the evaluation we must apply a screening process that will permit us to decide how much to invest in answering a given evaluation question. This screen should include two questions for starters:

- (a) What is our level of uncertainty regarding the answer to the evaluation question(s) we are asking?
- (b) Once we obtain the answer to our question(s), what leverage will we have to introduce change?

If we do not know what the answer to a given question will be and really want/need to know the answer to that question (high level of uncertainty) and if we have a great deal of leverage (e.g. once we answer our question, we can take actions that will make a difference), then it makes sense to make a relatively large investment in order to answer the evaluation question.

If, on the other hand, we already know the answer to our question (high level of certainty) and/or we know a priori that we can't make any changes even if we wanted to (low level of leverage), we should either forget investing money in answering the question or only invest a minimal amount.

		LEVEL OF UNCERTAINTY	
		LOW	HIGH
LEVERAGE	LOW	no/minimal investment	moderate investment
	HIGH	moderate investment	LARGE INVESTMENT

This simple, yet critical, message was worth the whole three day workshop.

3. There are limitations in collecting and interpreting some of the data we would ideally like to obtain from the CLASP II impact evaluation.

Our key interests vis a vis impact evaluation lie in three areas: (1) impact of training on attitudes toward /knowledge of the U.S. ; (2) impact of training on career development; and (3) impact of training on leadership skills. The following insights gained from the workshop have major implications for the approach we adopt for collecting data in each of these areas:

- Attitudes are very difficult to measure with any high level of reliability and validity. While a quantitatively oriented questionnaire could be developed to get at attitudes, it would be tricky to carry out in such a way that we are assured reliable and valid data.
- Knowledge can be measured but this knowledge will vary greatly from participant to participant given the wide variety in CLASP II implementation. Qualitative procedures may give us a better sense of the range of knowledge gained than would quantitative procedures which might limit our data gathering capabilities.
- Career development and leadership are both difficult to quantify and measure reliably over an extended period of time. Among others, their manifestation may change over time (e.g. the participant may choose to go "underground" for several years and not manifest his/her new skills in an obvious fashion). Again, qualitative procedures (case studies, semi-structured interviews) will provide a more useful vehicle for measuring progress than will structured, quantifiable questionnaires.

4. Evaluation is an evolving process

This was a key insight from the workshop. CLASP is a dynamic evolving program. Missions adjust their Country Training Plans from year to year. The AID/W audience changes every several years. New interests surface on the part of Congress and other influential

constituents. In order to evaluate CLASP II, we need a design that can evolve as CLASP II evolves. To design our CLASP II impact evaluation today in such a way that it will provide us with answers to our key impact questions in five years, without any prior feedback, is likely to be a waste of time and money. In five years the questions of today are likely to be "stale" (e.g. it is highly likely there will be new questions considered of more relevance). In addition, given our transient bureaucracy, none of us that posed the questions today will be here five years from now to receive the answer to the question and apply the result.

In other words, we need to build flexibility into the evaluation design to permit us to: (a) obtain timely answers to our questions of today; and (b) factor in tomorrow's questions.

5. "Process" and "Impact" are closely interwoven with one another

It is difficult to contemplate carrying out an "impact" evaluation without incorporating "process" data. Similarly "process" data means a great deal more when supplemented with "impact" data.

We are currently collecting valuable "process" data under the CLASP I evaluation and will need to continue collecting these data under CLASP II:

- (a) The CLASP Information System (CIS) is a data base that contains descriptive data on all CLASP participants. We depend on CIS for purposes of tracking CLASP policy compliance (percent disadvantaged, percent women, percent leaders, urban/rural location, type and duration of U.S. training) a key element of our "process" evaluation. CIS is also important to us for purposes of our "impact" evaluation: the data contained in CIS provides us with the point of departure for selecting our samples; CIS is also useful to us as background information that can facilitate the interpretation of impact data we obtain from participants.

- (b) Exit questionnaires, administered to all CLASP participants immediately prior to their departure from the U.S., provide useful insights on the training process: what trainees actually did while in the U.S. (e.g. nature of academic experience, nature of Experience America; their views of these experiences, and suggestions as to how they can be improved). These data, along with data to be collected in the field, as part of the trainee follow-up or "Impact" evaluation, can be quite useful as a guide in interpreting impact data.

6. Need for field missions to "buy-in" to the CLASP II evaluation

In order for the CLASP II Impact evaluation, whatever it might be, to be effective it must have strong endorsement/oversight from our field missions. Whatever we do we must get field missions to "buy in" in every sense of the word. This means that field missions must:

- (a) Understand from the start what the evaluation will entail and provide their own input into its design; and
- (b) Have access to the evaluation contract to do their own "buy-ins" for information that they need to improve their programs.

I can't emphasize this enough. Field missions, with reason, are beginning to signal their resentment over the time they must spend in facilitating AID/W initiated evaluations that they receive very little benefit from. If our evaluations are to be carried out effectively, they must have the input and support of what is probably their key audience, field missions.

7. Conditions necessary for overseeing the CLASP II Impact evaluation

The quality and relevance of the CLASP II Impact evaluation product is as good as the oversight/guidance we put into it. We need someone in AID/W to oversee the evaluation who has both the time and the expertise to provide adequate oversight and the continuity to

see the evaluation through. Equally importantly, we need to find some way to "educate" our field missions personnel on the basics of evaluation methodology - enough so that they know the questions to ask; the kind of information they should be asking for; and ways in which they can incorporate data into the design/redesign of their programs.

This observation has some very important implications:

- (a) We need to find some way of funding one or more evaluation orientation/training workshops during the first year of CLASP II for our field mission personnel. If we don't do this, I fear we will be investing money in an endless trough that will give us few useful returns.
- (b) We need in our AID/W oversight position a person who can provide continuity - e.g. preferably a civil servant. It is very important that this person have a background in educational research/evaluation.

8. Methodology: how necessary/feasible is it to have controls? Are pretest data desirable/necessary?

Both of these topics were discussed at length at the workshop. The following conclusions were reached:

- (a) Using a control group, while ideal, does not appear feasible for most circumstances under which we are working. In rejecting the concept of a control group, we need to keep in mind that we can never be sure that our data (e.g., changes in the behavior of our subjects over time) is entirely due to the training provided (e.g. other factors may have influenced these changes).
- (b) Pretest data may be useful in some circumstances (e.g., in assessing attitudes toward the U.S. and changes in these attitudes as a result of U.S. training). However, for most of the data we are interested in (e.g., career advancement, leadership) retrospective accounts from returnees regarding their status, perspectives before training should suffice.

106

## 9. Appropriate mix of quantitative and qualitative data

When we refer to the term "quantitative" in the context of evaluation we usually refer to an instrument (for example, a questionnaire) that is administered in exactly the same way to all persons and that has a series of boxes or categories amongst which one may choose to select the most appropriate answer. Household surveys, opinion surveys and other data gathering tools administered to large populations and population samples are usually heavily quantitative.

"Qualitative" methodologies abound. They can range from a case study, where an anthropologist/ethnographer spends up to two months living in a village studying the cultural characteristics of the individuals living in the village, to the more structured -- yet open ended -- interview protocols used by Ray Chesterfield to summarize the information he and his colleagues obtained as a result of spending two days in a given community interviewing CAPS returnees, their families, their employers and other influential members of the community. It is particularly critical, when applying qualitative methodologies, to have qualified individuals trained to collect the information desired.

While quantitative data are useful and have a definite role in the evaluation of educational programs, as it turns out (and this advice comes even from our quantitatively oriented advisors) - given the rich diversity inherent in the CLASP program, the circumstances under which we are working, and the nature of the types of data we need to answer the evaluation questions - there is much to be gained from qualitative data collection procedures:

- Case studies (similar to those recently carried out by Ray Chesterfield in Costa Rica and Guatemala) have the benefit that they provide us (AIG/W and field missions) with immediate feedback that we can quickly apply and use to make adjustments in our training program.
- If carried out appropriately, case studies and other semi-qualitative measures such as semi-structured interviews, permit us to get at data (for example,

leadership) that would be very difficult if not impossible to get at using a structured quantitatively oriented questionnaire.

- ~~Case studies can be mounted in a short time period and can be easily adjusted as data/information needs change.~~
- In the event we or a field mission wish to mount a structured questionnaire/interview that will provide us with quantifiable data, case study methodologies, carried out a priori, permit us to develop the constructs (categories) for each question that should be included in these questionnaires/interviews.

We also concluded that structured questionnaires with categorical answers, while useful in a number of circumstances, present a number of limitations for the CLASP II evaluation context:

- They may not tap the information we most need (e.g. the respondent either will not elicit the right response via the questionnaire or the questionnaire does not provide the category or categories needed).
- Structured questionnaires, if applied to a large sample over time, are not easily adjusted or modified without throwing off the data base being put in place.
- Questionnaires, especially if applied to a representative sample of all CLASP missions and programs, on a continual basis, can be quite expensive.

An important alternative, worth exploring under CLASP II, is to use qualitative data collection procedures to obtain data that can be summarized in a quantifiable fashion. Open ended semi-structured interviews that are capable of being reduced to quantifiable observations can provide a much richer, more valid base of information than highly structured questionnaires with pre-defined categories.

**10. There are limitations to the utility of collecting longitudinal data over extended time periods.**

We were advised by our experts that investing time and money into collecting longitudinal data over an extended period of time is questionable. Given the dissipating effects of interventions and the fact that behaviors often, after a period, go "underground" (e.g. are not as readily observable) one or two follow-ups of short-term trainees over a year/year and a half time period following training is probably sufficient. We need to examine further the optimum time period for following up on long-term trainees.

**B. OPTIONS FOR CLASP II IMPACT EVALUATION DESIGN**

I have identified two options for the CLASP II impact evaluation. The first, my preferred one, involves an approach that is highly dynamic and flexible and relies on a mixture of qualitative and quantitative data collection methodologies with an emphasis on the qualitative. This approach, or major portions of it, was endorsed by the majority of the experts who participated in the workshop (even those whose orientation is primarily quantitative). The second option is more "traditional." It departs from a quantitative, highly structured framework. Both assume:

- The existence of a data base on all trainees (e.g. the continuation of the CIS data base combined with exit questionnaires administered to all participants prior to their departure from the U.S.) that can be used as a point of departure for drawing samples for impact evaluation and for interpreting data collected from returnees.
- Field mission input into guiding the design/implementation of the option selected.
- Field mission "buy-ins" for specific evaluation data field missions will require.
- The existence in both AID/W and field missions of adequate management oversight.

188\*

These two approaches, their key characteristics, and their pros and cons are outlined below.

**OPTION 1: A flexible, rolling design that is sensitive to field mission needs and at the same time provides AID/W, on a timely basis, with the data it needs for programmatic oversight purposes**

### **1. Key characteristics**

This option recognizes that CLASP and its key players (ourselves and field missions) are dynamic and ever-changing. Questions that we have today need to be answered today, not five years from now. Similarly, flexibility needs to be built into the evaluation design to be able to answer tomorrow's questions that have not yet been formulated.

Under this approach, we would use as a point of departure the CIS data base (which provides basic biographical information on all trainees) and exit questionnaires to be administered to all trainees (which provides insights on trainees views of their predeparture and U.S. experience). The CIS data base and the data from the exit questionnaires would be used as the basis for designing a sampling frame that would guide the selection of the samples that would be used in all ensuing studies.

If we decide to adopt this option our CLASP II "Impact" evaluation would actually be a series of specific studies, carried out over a five - eight year time period. Early studies (e.g. years 1 - 3) would be designed to answer our current questions. Future studies would arise as needed (e.g., as we ourselves come up with new questions that we want answers to, as new actors come in with their own questions, if and when Congress declares a specific interest in some element of CLASP II Impact). While we would use a mixture of qualitative and quantitative data collection methodologies, our approach, at least in early years, would be characterized by the following:

- More emphasis on qualitative and semi-qualitative data -- case studies, open-ended interviews, semi-structured interviews -- in order to mine and interpret the rich variety of data we are bound to obtain.
- Utilization of sub-samples, both of countries and programs (e.g. 4-6 CLASP II countries out of 12; selecting no more than 2 or 3 CLASP programs per country) to answer our questions as opposed to representative samples that draw from all 12 CLASP II countries and all CLASP II programs in these 12 countries.

The AID/W portion of this evaluation would begin with a series of key questions that we have formulated (Table 1 on the next two pages provides an initial set of CLASP II impact evaluation questions).

Data answering these questions would be compiled and reported as they are generated. These data would be summarized into reports readily understood by ourselves and our field missions and sent out immediately to field missions so that they can draw immediate benefit from the findings. As appropriate, the findings would be integrated into formal guidance (revisions to the CLASP II design; expansion on certain aspects of the design) to be sent to all CLASP II field missions.

New questions may arise as a result of the answers we obtain to our first set of questions in which case in years 3 and beyond it may be necessary to design new studies to answer these questions. Alternatively, new studies may be commissioned as new "hot" issues surface or as new actors (our replacements, a new Assistant Administrator for LAC, a new Congressman or Congressional staffer) enter the scene.

Field participation under this option would take a number of forms. Field input would be solicited the first year into the design of the framework for the evaluation. This, as noted above, is critical to the success of the evaluation effort. Field missions would also be encouraged to "buy-in" to our central evaluation contract for their own evaluation activities.

TABLE 1  
ILLUSTRATIVE LIST OF INITIAL CLASP II IMPACT EVALUATION QUESTIONS

1) Trainee attitudes toward/knowledge of the U.S.

Have participants attitudes toward/knowledge of the U.S. changed in any way since going to the U.S. for training?

What has been the nature of the changes?

Which aspects of the CLASP II process (pre-departure orientation, U.S. training, home-stays, follow-on) seem to have contributed to these changes and in what way?

2) Career advancement

To what extent are CLASP II returnees advancing in their careers (increased status on-the-job, increased responsibility within the workplace, promotion in rank, increase in salary, etc.)?

What aspects of the CLASP II training experience seem to have made the most contribution to these advancements?

3) Leadership

In what ways have CLASP II returnees' leadership skills been enhanced as a result of their training in the U.S.?

What are they doing with these skills that they did not do prior to departing for the U.S.?

What elements of the CLASP II experience (pre-departure orientation, U.S. training, follow-on) seem to have most contributed to the above?

TABLE 1 - continued

4) Effectiveness of short-term training programs

Are there any specific types of short-term training programs common to a number of missions that seem to be more effective than others in enhancing career mobility and leadership skills and that should be recommended for broader application?

What are the characteristics of these training programs?

Are there any specific types of short-term training programs common to a number of missions that seem not to be effective in enhancing career mobility and leadership skills that should be discouraged?

5) Effectiveness of long-term training programs

What types of long-term training programs seem to be most effective in terms of promoting career mobility and enhancing leadership skills (e.g. two-year undergraduate, four-year undergraduate, junior year abroad, masters degree training)?

Under what circumstances are these programs best carried out and how should they be designed so as to assure maximum impact?

Given its evolving nature, should we decide to adopt this option, we would not prepare a detailed 5 - 8 year implementation plan now. Rather, we would develop and incorporate in our CLASP II PP a conceptual framework and rationale that lays out the basis for the CLASP II evaluation (both process and impact). This framework would be expanded upon and enhanced next fiscal year once we have a better idea of how field missions will be designing their individual CLASP II projects and, once we have had the opportunity to obtain input from our field missions into the CLASP II evaluation design. For every year thereafter it would be the responsibility of LAC/DR/EST to prepare a yearly CLASP II evaluation implementation plan that would be approved by the director of LAC/DR and by CLASP II field missions before being put into effect.

While this approach is highly qualitative in nature, it does not rule out the use of quantitative data collection methodologies nor does it rule out quantifying the results from the studies in a manner useful to audiences. We may, indeed, want to administer questionnaires (for example to explore attitudes toward/knowledge of the U.S. before and after training). These questionnaires would differ from those presented under Option 2 below in that the questionnaires would be administered to a limited sub-sample of participants rather than a random sample of CLASP II participants in all CLASP II countries.

## 2. Sequence of activities under Option 1

This is the sequence of activities that I would envision should we decide to adopt this option:

### Year 1 (FY 1990):

Concentrate efforts on organizing for the CLASP II impact evaluation. This would involve the following:

- (1) Finding a qualified individual to oversee CLASP II evaluation activities from AID/W. I can't emphasize this enough - we need both the skills and the continuity to

195

oversee what could potentially be a very useful process. If we aren't able to find such an individual we may have to dramatically re-think what we want to obtain/can obtain from CLASP II evaluation activities.

- (2) Through case studies carried out in a sample of CLASP II countries (possibly using CAPS funds currently available under the CAEFTS contract), developing the constructs (e.g. categories) required to operationalize and define for future evaluation purposes such key terms as "leadership," "career advancement," "attitudes," "knowledge."
- (3) Developing a "menu" of evaluation options to be used in the CLASP II Impact evaluation. As a result of the case studies and given our key questions, define the appropriate mix of qualitative, semi-qualitative and quantitative methodologies that can be used over the course of CLASP II to collect the data that we need.
- (4) Getting field missions to "buy-in" to the CLASP II Impact evaluation. This would include: (a) orienting field missions to CLASP II Impact evaluation through one-two week training sessions provided at the sub-regional level; (b) reaching an agreement with field missions regarding the objectives and approach to be used in the CLASP II Impact evaluation; (c) identifying field missions that would like to participate in early cross-mission CLASP II Impact evaluation activities; and (d) orienting field missions on how they can buy-in to the CLASP II Impact evaluation with their own funds to collect data that they specifically need.
- (5) Preparation of a conceptual framework for CLASP II Impact evaluation that has the approval of AID/W and field missions.

1948

- (6) Preparation of a detailed implementation plan outlining impact evaluation activities to be carried out during year two of the evaluation (NOTE: This plan would be updated annually to reflect emerging questions/issues that we cannot anticipate today but need to factor into future evaluation activities.)

Years 2 and 3 (FYs 1991 and 1992):

The activities proposed for years 2 and 3 are particularly important from the point of view of AID/W as they address topics of immediate interest to us from a strategic/policy context. We would engage in three types of activities:

- (1) Carrying out one or more studies to examine/validate the premises underlying the design of CLASP II.

Through one or more focused studies (e.g. studies that do not take all CLASP II missions and all CLASP II programs but rather a sub-sample of missions and programs) we would concentrate our efforts on attempting to answer questions 1-3 in Table 1 above, i.e. we would examine whether the premises underlying the design of CLASP II (e.g. that we can successfully enhance the leadership capabilities of individuals from the LAC region through a carefully designed program to upgrade their leadership skills and enhance their leadership capabilities) are well founded.

The results of this initial study or set of studies would be used to prepare, at the end of year two or sometime in year three, a document for ourselves, our field missions, and perhaps for Congress that would examine the premises of CLASP II. As necessary, this document would result in guidance to field missions to make mid-course adjustments in CLASP II design.

- (2) Initiating a series of ongoing studies that would examine specific CLASP II programs with an eye toward recommending their continuance and expansion, adjustments in these programs or their elimination.

This is where the CLASP II impact evaluation, in close tandem with process data obtained through the CIS and exit questionnaires, can give us our most concrete and useful assistance. A number of missions under CLASP I have initiated similar programs (e.g. short-term training of primary teachers; training of rural mayors; training of high-school students). These programs are being carried out in many cases on a repeating basis, and yet we do not have information that tell us how useful they are, whether it is appropriate to keep repeating them, and how they could be improved.

Once our CLASP II missions have carried out their Social Institutional Framework (SIF) analysis and designed their own CLASP II Project Papers we will be in a position to identify programs that would be in our collective interest (field missions and AID/W) to take a close look at (e.g. programs that are to be carried out on a repeat basis within a CLASP II mission or across CLASP II missions; new programs that, due to their "innovative" nature may be worth taking a closer look at given their implications for future CLASP II programs).

During years 2 and 3 of CLASP II (and indeed in future years as we continue to have need for this type of endeavor) we would selectively choose specific programs of interest to us and field missions and, through a combination of case study and other semi-structured qualitative methodologies, examine what can be learned from these programs that would have useful implications for future CLASP II programming.

This endeavor would result in the issuance, as studies are completed, of periodic reports to be circulated to all CLASP II field missions, providing guidance/insights on how to carry out (and conversely how not to carry out) these programs. ~~As necessary, the studies may result in the~~ issuance of formal guidelines to field missions (e.g. recommending that a given program not be continued; suggesting, based on the results of a given study, that certain practices be modified).

### (3) Field buy-ins

Under this option we would be encouraging field missions to start buying into the CLASP II impact evaluation as soon as they like for purposes of exploring specific topics of interest to individual missions. In some cases missions may decide to "piggy-back" on studies we are already carrying out in their countries by adding on one or two questions to the questions we are already asking or asking the evaluator to collect data from individuals in a given village that the evaluator plans to go to anyway that are not part of the evaluators' sample. In other cases missions may want to mount their own separate (quantitative or qualitative) evaluation studies.

This approach raises, however, some interesting issues:

- (a) If we want missions to really "buy-in" and feel comfortable in using our central contractor (something we would ideally want to encourage to make sure that quality data are being generated) we need to give missions the liberty to decide whether or not they want to share their results with us. In some instances, a mission may wish not to share the data with us and to have the data go only to the field mission. We should be prepared to let this happen.

(b) We need to build into the central CLASP II evaluation contract ample field mission buy-in capability (e.g. along the lines of the CAREFTS or EHATS contracts).

Years 4 and 5 and beyond (FYs 1993, 1994 and beyond)

Given the flexibility involved in this approach, the dynamism of CLASP II, and the fact that by year 4 none of us will be here, it is hard to predict what course the CLASP II impact evaluation studies will take.

For purposes of current planning we can certainly envision two lines of inquiry:

- The continuation of field mission buy-ins
- The continuation of studies to examine sub-programs carried out in one or more countries on a repeating basis that are of generic interest to us

Other studies will undoubtedly surface -- studies arising from questions raised/left unanswered by prior studies; studies to respond to "hot" new issues that our successors or influential elements in Congress might have. As new questions surface we would need to apply, on a case by case basis, our key criteria for funding evaluation activities (level of uncertainty, amount of leverage) and, based on the outcome of applying these criteria and taking into account funding availabilities, decide whether or not to carry the studies out and at what funding levels.

We would also envision, should we follow this option, sometime early in year four bringing in an external party to evaluate the evaluation (e.g. is our approach appropriate, are data collection methodologies sound and on target, what is the quality of the data collected and the way in which it is reported).

Should we opt to follow this approach, by the end of year five we should have completed a number of studies that would have implications for our EOPS. More importantly, we would have accomplished putting in place a mechanism for providing constant feedback that would have enabled us, during CLASP II implementation, to fine-tune the CLASP II design.

### 3. Advantages of Option 1

Option 1 has a number of, what are in my opinion, key advantages:

- A "user friendly" design that would permit us to obtain answers to our questions on a quick turn-around basis and use these answers to fine-tune CLASP II implementation.
- Potentially, a cheaper design to implement. Size and number of case studies could be tailored to reflect funding availabilities.
- The flexibility to introduce/adjust questions mid-stream to adopt to new interests/issues/emergencies.
- If done well, the credibility of an evaluation that makes observations based on in-depth cases and does not attempt to make sweeping generalizations that are subject to attack from a methodological perspective.

### 4. What we would not be able to get under Option 1:

There are certain things that this option definitely would not buy us. We should be aware of them up-front and willing to dispense of them, should we decide to adopt this option.

- Significant amounts of quantitative data, based on relatively large samples, that can use to make broad, sweeping generalizations regarding the CLASP II program.

- A roadmap that would permit us to put in place, from the beginning of the project, a design that will be carried out in a consistent fashion over a five year time period.

**OPTION 2: A more formalized design which sets out quantitative parameters and targets and relies more on structured questionnaires and interviews.**

**1. Key characteristic**

The approach proposed for Option 2 is one that is largely (although not exclusively) quantitative in nature. As in Option 1 the approach to be followed would be one of close collaboration/input from field missions during the first year. Option 2 would also avail itself of the CIS/exit questionnaire data base. Where Option 2 differs from Option 1 is in the following:

- We would set in place, early on in the design process, one or more follow-up questionnaires, which our contractor would administer on a periodic basis over a five to eight year time period.
- We would draw as our sample participants in all programs from all 12 CLASP II missions (rather than taking a sub-sample of programs and missions as would be the case under Option 1).
- We would invest a great deal of effort, during the first year of the evaluation, in selecting an appropriate sampling frame and, via case study methodologies, identifying the key data elements that would need to be included in the questionnaires.
- Instead of a series of studies, as is the case under Option 1, we would be buying one master study to be carried out over a five-eight year time frame.

2007

## 2. Advantages of Option 2:

Options 2 has three potential advantages.

- A more traditional/"accepted" methodology.
- Predictability: the ability to organize and design up-front an evaluation approach that would be carried out in a consistent fashion over a five to eight year time frame.
- Data that are readily quantifiable and easy to summarize for a lay audience.

## 3. What we would not be able to get under Option 2:

- An evaluation approach that is not nearly as user friendly as Option 1: If we follow this approach it would be difficult, without major disruption in the integrity of the evaluation design, to make significant adjustments midstream either in the contents of the questionnaires or the data collection methodologies.
- Data that are always "timely." With a design that calls for the collection of the same data year after year, we would run the risk of generating, as time goes on, data that are "stale" or "old hat."
- If we are not careful we may end up with data that are of dubious validity.
- Flexibility in funding: given the progressively larger data base that would accumulate under this design, we would be saddled with an increasing expense just to maintain the data base.

**C. INTEGRATING TRACKING OF CLASP I RETURNEES INTO THE CLASP II EVALUATION**

The decision has already been made to track CLASP I returnees as part of the CLASP II evaluation. Actually, this tracking will begin this FY prior to the initiation of the CLASP II evaluation. CAPS returnees (both short- and long-term) will be selected as part of the Phase III activities to be carried out under the Central America Education Field Technical Support (CREFTS) contract and financed with approximately \$350,000 in CAPS funds left in the contract designated specifically for CAPS evaluation purposes.

Under the Phase III CAPS evaluation the following will take place:

- A sample of CAPS returnees, both short- and long-term, will be selected for purposes of follow-on.
- Case studies, similar to those carried out under Phase II for Guatemala and Costa Rica but less structured, will be carried out, in order to: (a) initiate the development of the constructs for leadership, career development and attitudes that will be required for further CLASP evaluation purposes; (b) identify one or more methodologies for applying these constructs in the implementation of the CLASP II evaluation; and (c) collect preliminary data on the impact of CAPS on returnees.
- A report will be prepared which: identifies the methodology followed in the case studies; identifies the constructs; and proposes one or more methodologies, in addition to case studies (e.g. semi-structured interviews, open-ended questionnaires) for collecting data on CAPS and CLASP II returnees using these constructs.
- An additional report will be prepared, summarizing the preliminary outcomes of the case studies, and providing insights for the early stages of CLASP II implementation.

- As appropriate, and pending the availability of additional funding, further follow-up will be done on this sub-sample of CAPS returnees in order to track the impact of their U.S. experience over time.
- In addition, AID/W - in close collaboration with one or more CAPS missions - may use remaining CAPS funding to initiate one or more studies to examine the effects of one or more sub-programs (e.g. Costa Rica 4-H student groups; bilingual promoters from Guatemala) on returnees. These studies will serve both as a pilot/trial run for the program specific studies to begin during year two of the CLASP II evaluation and to provide useful insights that can guide early CLASP II implementation.

Pending the outcome of the above studies and decisions made in early FY 1990 vis a vis the CLASP II impact evaluation, a certain portion of this CLASP I sample may be tracked further over time using CLASP II funds.

**ATTACHMENT 1**  
**AGENDA FOR CLASP II IMPACT EVALUATION DESIGN WORKSHOP**  
**MAY 3-5, 1989**

## CLASP II EVALUATION DESIGN WORKSHOP

### WEDNESDAY, MAY 3

- |            |  |                                      |
|------------|--|--------------------------------------|
| 10:00 A.M. | Welcome/objectives of workshop<br>Logistics<br>Review/revisions to agenda  | Bernbaum<br>Jones                    |
| 10:20 A.M. | Background - history of CLASP<br>program, factors influencing<br>CLASP implementation, objectives/<br>perspectives for CLASP II  | Carney<br>Gillies<br>Warfield        |
| 11:00 A.M. | CLASP evaluation activities to date:<br>Aguirre evaluation, CAPS case<br>studies   | Chesterfield<br>Gonzales<br>Kauffman |
| 12:30 P.M. | Lunch  |                                      |
| 1:30 P.M.  | The political/strategic context -<br>why are we carrying out the<br>evaluation, who are the audiences,<br>how will data be used? | Cronbach<br>Bernbaum                 |
| 3:00 P.M.  | Critique of proposed CLASP II<br>evaluation design   | Chesterfield                         |

### THURSDAY, MAY 4

- |            |  |          |
|------------|--|----------|
| 8:30 A.M.  | Summary of day one proceedings   | Bernbaum |
| 9:00 A.M.  | Methodological considerations: what<br>type of experimental/quasi-experi-<br>mental design is appropriate? | Campbell |
| 11:00 A.M. | The sample: appropriate sample<br>size, methodology for selecting a<br>sample                              | Kish     |

**12:30 P.M. Lunch**

**1:30 P.M. Questionnaire design, tracking of trainees - when is enough enough?**

**Cronbach**

**5:00 P.M. Enriching quantitative outcomes with qualitative data**

**Levine**

**FRIDAY, MAY 5**

**8:30 A.M. Preparation of options for CLASP impact evaluation design**

**Workshop  
Participants**

**10:30 A.M. Presentation of options**

**Workshop  
Participants**

**12:30 P.M. Lunch**

**1:30 P.M. Wrap-up: options for CLASP II evaluation design; conducting an evaluation that is methodologically sound, affordable, and feasible**

**Bernbaum  
Carney**

**3:30 P.M. Close to workshop**

**Carney**

**ATTACHMENT 2**

**EVALUATION DESIGN FRAMEWORK PREPARED PRIOR  
TO WORKSHOP**

CLASP II EVALUATION DESIGN FRAMEWORK

DATA DESIRED	AUDIENCE					MECHANISM	TIMING	BUDGET
	FIELD MISSIONS	LAC BUREAU (LAC/DR)	LAC BUREAU AGENCY MGT.	CONGRESS	CONTRACTORS			
1. <u>ACHIEVEMENT OF TARGETS</u>	X	X	X	X	X	CFP Updates CLASP Information System	Annual Biannual	\$100,000/yr
1.1 New trainee starts								
1.2 Minimum 40% women								
1.3 Minimum 70% disadvantaged								
1.4 Minimum 20% long-term								
2. <u>IMPLEMENTATION PROGRESS</u>		X	(X) 1/	(X) 1/	X	Two week field visits to field missions	Every two years	\$300,000/yr
2.1 Adequacy of procedures for recruiting, screening & selecting leaders								
2.2 Adequacy of design of individualized training plan								
2.3 Adequacy of pre-departure orientation								
2.4 Training in U.S. -- Quality & appropriateness of technical training -- Quality & appropriateness of Experience America								
2.5 Quality & appropriateness of follow-on								
2.6 Cost containment								

1/ On a select basis

2084

DATA DESIRED

AUDIENCE

MECHANISM

TIMING

BUDGET

<u>FIELD MISSIONS</u>	<u>LAC BUREAU (LAC/DR)</u>	<u>LAC BUREAU AGENCY MGT.</u>	<u>CONGRESS</u>	<u>CONTRAC- TORS</u>
---------------------------	------------------------------------	---	-----------------	--------------------------

3. EFFECTS (IMPACT) ON TRAINEES

- Attitudes/knowledge of U.S.
- U.S. linkages
- Career advancement
- Leadership/multiplier effect

Combination of questionnaires & case studies (time-series)

Questions:

- Sample size
- Control group
- Duration & frequency of time-series
- Need to treat individual groups as separate mini-evaluations
- Need for central evaluator as opposed to mission evaluators.

Options:

\$300,000/yr  
\$500,000/yr

2189R

209

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON DC 20523

LAC-IEE-89-47

ENVIRONMENTAL THRESHOLD DECISION

Project Location : LAC Regional  
Project Title : Caribbean Latin American  
Scholarship Program II  
Project Number : 598-0661 and 597-0044  
Funding : \$200 million  
Life of Project : Eight years  
IEE Prepared by : Elizabeth Warfield  
LAC/DR/CEN  
Recommended Threshold Decision : Categorical Exclusion  
Bureau Threshold Decision : Concur with Recommendation  
Comments : None  
Copy to : Joe Carney, LAC/DR/EST  
Copy to : Elizabeth Warfield, LAC/DR/CEN ✓  
Copy to : IEE File

James S. Hester Date JUN 16 1989

James S. Hester  
Chief Environmental Officer  
Bureau for Latin America  
and the Caribbean

INITIAL ENVIRONMENTAL EXAMINATION

Project Location : LAC Regional  
Project Title : Caribbean Latin American  
Scholarship Program II  
Funding : \$200 million

Project Description

The goal of the Caribbean Latin America Scholarship Program II is to promote broad-based economic and social development in the LAC countries by encouraging and strengthening democratic pluralism and free enterprise economies. The program purpose is to equip a broad base of leaders and potential leaders in LAC countries with specialized skills, training, and academic education, and with an appreciation and understanding of the workings of democratic processes within a free enterprise economy.

To achieve the goal and purpose, CLASP II will provide \$200 million in A.I.D. grant funds through 13 mission projects and an LAC regional project over eight years for customized training programs incorporating both Experience America and follow-on activities. All CLASP II participants will be leaders or potential leaders on the local, community, or national levels and participants will be representative of the social and economic structure in each country.

Environmental Impact

The proposed project will not involve activities that have a harmful effect on the natural or physical environment. The activities which will be carried out qualify for a categorical exclusion according to Section 216.2(c) (2)(i) of 22 CFR as "education, technical assistance or training programs except to the extent such programs included activities directly affecting the environment (such as construction of facilities, etc.)."

Recommendation

Based on the categorical exclusion discussed above, LAC/DR recommends that the Caribbean Latin American Scholarship Program II be given a Categorical Exclusion determination requiring no further environmental review.

Concurrence:

  
Terrence J. Brown  
Director  
Office of Development Resources  
Bureau for Latin America and  
the Caribbean

6/14/89

Date

**SOCIAL AND INSTITUTIONAL FRAMEWORK**

**USAID/Costa Rica**

**March 1990**

**Prepared for CLASP II (515-0254)**

**A Guide for Participant Selection**

## **I. EXECUTIVE SUMMARY**

The USAID Mission in Costa Rica, in compliance with the instructions for the preparation of the Socio-Institutional Framework (SIF), is submitting this document which outlines the social, economic, and institutional inputs for the CLASP II project. Included also is a summary of Mission experience with short-term technical/observational training and long-term training programs at the secondary, undergraduate and graduate levels. The results of a survey carried out in the field by Consultoría Interdisciplinaria en Desarrollo S.A. (CID) which proposes a working definition of leadership and identifies key individuals and the roles that they play in their communities, are the primary source of data.

The Mission reviewed the strengths and deficiencies of its training programs to date; this review, together with the conclusions of the CID research, will provide direction for CLASP II for focusing on specific target groups and the selection of trainees. Important differences in the ideal candidate of short- vs. long-term programs are discussed. The high school component is highlighted as an innovative program that is already proving to have a positive impact.

Recruitment and selection of individuals with the appropriate leadership qualities is perhaps the most critical aspect of CLASP II. The Mission has developed a screening process that has resulted in the selection of a high quality of participant. This process is continually evaluated and improved. The Mission will continue to take advantage of its institutional contacts to help identify promising candidates for the CLASP II program who are not in the mainstream by virtue of their geographic location or their socio-economic status.

Modifications are suggested for the long-term training component, providing a closer linkage between English Language Training and the academic program.

The Follow-on program is guided by the belief that skills upgrading and peer networking are important elements in the community development work of the returned participants. These, in turn, are essential for the expansion and strengthening of democratic institutions in Costa Rica.

## II. COUNTRY SETTING

Few would dispute that Costa Rica is "different" from other nations of the Central American and Caribbean area. In a region of tempestuous government changes, where democratic institutions often have brief lives, Costa Rica is a vibrant democracy in which elections are held every four years. The fact that Costa Rica eliminated its military in 1948, leaving only public security forces, means that its freely elected civil authority has responsibility for the central government and the public sector. It also means that the funds which would have gone into an armed force can be and are invested for other objectives, including the social welfare and the education of its citizenry.

Costa Rica's commitment to social justice and the well-being of its people has resulted in a healthier and better educated population than most of its Latin American neighbors and less developed countries worldwide. According to recent statistics, the infant mortality rate has fallen to 14/1000; illiteracy, to 6%; the population growth rate to 2.5%, and life expectancy has increased to 74 years. These statistics compare favorably with those of many industrialized countries.

The nearly universal provision of social services and investment in economic infrastructure--roads, telephones, electricity--have been eased by the concentration of more than half of the population in the Meseta Central. The combination of universal education and ease of communication in turn have facilitated economic growth by improving the average person's opportunities to participate actively in the economy.

Since its democratic revolution in 1948 (excepting the early 1980's), the Costa Rican economy has been characterized by sustained and healthy growth. Virtually the entire population has participated in the benefits of the country's prosperity. Unlike its neighbors, Costa Rica possesses a large and active middle class, and being a society in which the redistribution of wealth includes a "safety net" of social programs and guarantees, has surpassed most of the other countries of the developing world in sharing the benefits of growth with its poor and middle classes.

The GOCR played a major part in this development by adopting a paternalistic role and taking de facto leadership for economic development and change for the past two to three decades (including a real or virtual state monopoly on banking, insurance, electricity, telephones, railroads, and medical care). To a great degree, the activist state succeeded in reducing the differences between economic classes by mandating universal primary education and basic health care for everyone, and by providing economic opportunities through land redistribution, production incentives and credit, and subsidized university education.

This heavy reliance on state leadership has changed somewhat in recent years, as other formal and informal structures and institutions have emerged to take on some of the responsibility for development. In fact, despite its fewer than three million inhabitants, Costa Rica enjoys a wide range of groups, institutions, and individuals of differing philosophies, all of which constantly compete for influence and resources. This includes a variety of voluntary groups, private enterprise-related organizations, and other kinds of professional/vocational groups which operate at the national, regional and cantonal levels. One recent example is the greater involvement of an active private sector in the promotion of export-led growth.

Yet, even with this wide variety of groups, Costa Rican society is relatively homogeneous and harmonious when compared with neighboring countries. The absence of groups which promote violent conflict, the absence of an entrenched oligarchy, and a relatively small minority or indigenous population facilitate the country's ability to sustain its social contract.

Costa Ricans will argue, however, that in spite of this positive profile, Costa Rica is still a poor developing country. National statistics mask the differences between the prosperous and poor segments of the population. A 1987 AID-financed study based on the 1984 Costa Rican census and a Ministry of Planning study identified 83 rural districts as the nation's poorest, i.e. where poverty is the dominant condition. (Costa Rica is divided into 7 provinces, 81 cantons, and 418 districts). In these rural districts, illiteracy is more than double the national norm; almost half of the population is not enrolled in the national health system, and approximately 55% of the houses lack electricity and water.

The most recent available national figures on income distribution reveals the following pattern:

<u>Monthly income (C85/\$1)</u>	<u>Percentage</u>
up to \$118	15%
\$118 to \$352	35%
\$352 to \$705	35%
\$705 to \$1000	10%
More than \$1000	5%

In summary, Costa Rica is different from other Central American nations because of its historical commitment to democracy, its high educational levels, the absence of an army, and the commitment to state apparatus as a major change agent. Similar to its neighbor countries, it's overall income levels are low and pockets of real poverty continue to exist.

### III. THE MISSION EXPERIENCE IN TRAINING

Over the past four years the Mission has implemented two major training projects, CAPS and Training for Private Sector Development (TPSD). The experience of these two projects has provided lessons for the design and implementation of CLASP II.

CAPS and TPSD are complementary. Whereas CAPS has selected and trained over 1500 participants in many different fields in short- and long-term programs, TPSD has focused on the private sector and especially in the area of export promotion. The TPSD project does not include an Experience America (EA) component, although EA-type activities were programmed for most groups. The emphasis of TPSD programs was two-fold: first, technical training to increase the quantity and quality of production in Costa Rica; second, the opportunity to meet U.S. customs officials and freight forwarders, in order to establish contacts and streamline the process of transporting their product to the U.S. port of entry and beyond to U.S. markets.

In addition, TPSD has a small long-term academic program, focused mainly on university professors, for which approximately 25 persons were selected to study for graduate degrees on U.S. campuses.

The experience of these two projects has provided valuable lessons for the design of CLASP II. The first and perhaps most obvious is that training is indeed worthwhile. Repeatedly the Mission has seen the excellent results of U.S. training at all levels and in virtually all occupational fields. Out of U.S. training programs has emerged the unintended consequence of empowerment of leaders in their respective communities. CAPS and TPSD returnees have status, are perceived to be "special" by their colleagues, and demonstrate a professional and occupational maturity which result from these off-shore training programs.

Second, the priority areas under CAPS and TPSD are consistent with Mission policy and Costa Rican developmental projections. The Mission has trained people at the local level (through the short-term program) and at the national level (mainly through the long-term academic program) in areas that are important to the country as determined by GOCR and Mission priorities. Groups such as rural firemen, municipal and community development leaders, communal banks, rural primary school teachers and directors, and scout leaders return to their communities with their credentials as leaders enhanced. The Mission has seen observed the influence of these persons on national policy in their respective fields. The point is that CAPS has successfully identified both leaders and target areas. CLASP II will build on this experience.

Finally, the Mission experience with contractors, both in Costa Rica and in the U.S., provides a perspective which will serve the goals and objectives of CLASP II. For example, the comparative cost-benefit of a Mission contractor vs. AID/W contractors will be examined in the proposals for the long-term component of CLASP II. The relative advantages of in-country vs. U.S.-based ELT will be evaluated at the same time. Especially relevant are identifying innovative ways of squeezing greater increments of benefit to the participant from each project dollar expended. For example, the Mission is considering: 1) placing participants on campuses for their English language training. This will have the advantage over an in-country program of more efficient learning (although perhaps at a higher cost); 2) the possibility of enrolling the participants in an academic course simultaneously with ELT (and thereby effecting a smoother transition between ELT and academic studies); and 3) involving participants in Experience America activities while they are learning English.

#### **IV. OBJECTIVES OF CLASP II PROGRAM**

Within the context of the country setting and the cumulative Mission training experience, it is important to consider the objectives of the CLASP II program. These are:

"To strengthen three processes in the country; pluralist democracy, free enterprise market economy, and broad based economic development. The program strategy will be to train leaders in key institutions and fields in all socio-economic groups and expose them to the values and functioning of democratic free enterprise systems. The key to the successful implementation of this strategy is to identify people whose training will have a broader impact on their community or society either directly or indirectly through their action."

The emphasis is on leadership, and especially on those leaders who will have an impact on their communities in the goal areas of democracy, free enterprise and economic development.

## **V. METHODOLOGY OF THE SOCIO-INSTITUTIONAL FRAMEWORK**

The first step was a review of current Mission knowledge and cumulative experience in long- and short-term training, both program related, and CAPS experiences. Over time, the Mission has developed an extensive network of institutional and organizational contacts that assist in the processes of seeking out appropriate candidates for the types of training that AID offers. In view of the small size of the Costa Rican population, the programs have already made a nationwide impact. The Mission will strive to continue this under CLASP II. In order to reassess our training goals and methodologies, the Mission contracted the services of CID, a local affiliate of the Gallup polls organization, to carry out some basic field research in compliance with the SIF guidance.

CID began with a review of relevant literature in the area of leadership, followed by the completion of Matrix 1. Discussions were held between the contractor and members of the Mission to refine the process. The CID team then designed a questionnaire for interviewing 150 local level leaders in 20 cantons of Costa Rica. The cantons were selected according to geographic and socioeconomic characteristics of importance to CLASP II. For example, in the San José province (containing 40 percent of the national population) cantons with substantial portions of disadvantaged were selected.

The number of interviews in each canton varied from 6 to 9. The respondents were selected on the basis of their positions within the community and by their membership in sectors identified as priority in the Matrix 1 exercise. The interviews were carried out with a view towards leadership at the local level. The respondents were asked to provide their own definition of leadership, real examples of community leaders, and a description of the roles they play in the community. Once the results were tabulated, CID met again with the Mission and the draft report was discussed. The conclusions of the interviews coincide closely with Mission experience in terms of identification of leaders and the sectors which are priority for short-term training. The CONICIT study cited below identifies certain technical areas appropriate for long-term academic training.

## **VI. RESULTS OF THE RESEARCH**

### **A. DEFINITION OF LEADERSHIP**

The literature search resulted in the following working definition of leadership:

- A leader is a person who occupies a role in the community or society, and who has the possibility of influencing others;
- A leader has been designated by his/her group or community to a position of leadership;
- A leader occupies a role which permits him/her to have special influence in the setting of group or community goals;
- A leader occupies a role which permits him/her to interpret national goals to the members of the community.

In addition, a multi-trait description of a leader would include the following:

speaking ability	positive self concept
generosity	capacity to concentrate on a goal
concern for group welfare	achievement
will power	broad knowledge base
profound convictions	ideological commitment

As stated above, all of these provide a working definition of leadership. The survey conducted among leaders asked each to define a "leader" in his/her own words. Their responses are presented below:

1. Leader as problem solver

A leader is a person interested in helping a community resolve its problems. He/she is a person who understands the problem and looks for ways to solve it. He/she is highly capable and assumes responsibilities.

2. Leader as goal setter

A leader is a person who organizes positively a group in order to carry out tasks which are beneficial to the community. He/she is capable of organizing the group in order to achieve agreement on objectives. He/she is able to get others to join the group in order to carry out the required tasks.

3. Leader as charismatic

A leader is a person who stands out in a community because of his/her appearance of being in charge and because of a positive image projected to others. A leader is a person well-known in the community. He/she is admired in the community for the projects he/she carries out. The leader probably is skilled in persuading others to adopt his/her goals.

A leader is active and often takes the initiative in community-related affairs. He/she is sincere and easily relates to others.

4. Leader as concerned for the less advantaged

A leader often does things without concern for his/her own self-interest. He/she looks for ways to do things for the people. The most disadvantaged are the ones which most concern him/her. The leader is concerned for the development of the community.

5. The leader as communicator

A leader is able to communicate his/her ideas and goals to a group in ways that it can understand. The leader is open to new ideas and is willing to receive as well as to give opinions. He/she is a person with a vision of the future and the ability to motivate the members of the community in terms of the vision.

It is interesting to note that the definitions which were used as a working basis for this research coincide with the responses provided spontaneously by the interviewees.

The research also revealed that a university degree or personal wealth are not considered essential for leaders at the local level. Therefore, CLASP II should not necessarily seek leadership among the better educated or wealthier members of local communities, but rather, should follow the other criteria as expressed by community members.

The respondents were also asked what leaders do in their communities. Among the responses, the following were especially noteworthy:

- A leader carries out projects beneficial to the canton, and especially those designed to help the development.
- Our leaders seek funding for new projects and to pay for problem solving activities.
- Our leaders attend meetings, meet with people and constantly seek ways to solve problems.

**B. A PROFILE OF LEADERSHIP SEEN THROUGH THE EYES OF THE RESPONDENTS**

When asked to define leaders in their cantons, the interviewees were asked for names. Since the type of leader identified by the respondents was of importance to this research, asking about specific individuals often provided respondents with a concrete example on which to base their answers. The answers were tabulated and below are the categories most often identified.

Many of the following sectors were targeted under CAPS and will continue to be the most important source for participants for short-term training under CLASP II.

- Members of Community Development Associations
- Members of Cantonal Education Committees
- Members of Cantonal Sports Committees
- Political leaders (two principal parties)
- City Managers
- Small businessmen and women
- School teachers and directors
- Union of Development Associations
- Directors of Clubs (Kiwans, Lions, 4-S)
- Aldermen
- Clergy
- Congressmen

**C. RECOMMENDED PERSONAL CHARACTERISTICS: SHORT-TERM TRAINEES**

Due to the importance of education in Costa Rica, it would appear that people with less than two years of high school achieve leadership status in Costa Rica only with great difficulty. On the other hand, persons with a university education generally tend not to be involved in rural community affairs. CID recommends that, where available, leaders with 3 to 5 years of secondary school and preferably between the ages of 25-35 be selected for short-term training in most of the target sectors. However, the Mission recognizes that more important criteria are whether the candidate possesses the inherent elements of leadership, will benefit from CLASP training, and will be an effective agent for community action consistent with CLASP II objectives. Accordingly, the Mission selection process will be guided more by these considerations than by strict adherence to age and education levels.

Regarding family income level: the Costa Rican government has established a basic market basket ("canasta básica") which serves as a basis for calculating a price index. According to November prices, the purchase of "canasta básica" articles for a family of five requires a minimum of \$236/month.

Based on this figure, CID recommends that the principal target for CLASP II should be persons with monthly family incomes ranging between \$236 and \$705, with flexibility at the lower end of this range. Families with monthly incomes in excess of \$705 are not disadvantaged, and persons from families earning less than \$118 (the lowest 15%) may not be able to take full advantage of a training opportunity. Again, the Mission will avail itself of this guidance in the context of the overall criteria for selection, as mentioned above.

#### **D. RECOMMENDED SECTORS FOR SHORT-TERM TRAINING SELECTION**

##### **Community Development Associations (Asociaciones Integrales de Desarrollo Comunal)**

These function at the "district" level and are made up of a wide variety of occupational and educational characteristics. In general, members are of lower socio-economic origin. The Community Development Associations are involved at the local level, especially in infrastructure and economic development projects.

In order to achieve legal status, an Association must have at least 100 members. Board members are elected and serve ad honorem for four-year terms. Therefore, CLASP II participants from this sector should be drawn from members of boards of directors who still have a period of time to serve.

##### **Members of Cantonal Educational Committees (Juntas de Educación)**

Members of Juntas are appointed by the municipal council and serve ad honorem for two-year terms. Juntas are responsible for administering certain school assets and for general support of the local schools. They are usually comprised of parents and leading members of the community; often considerable numbers of the members are women. Generally, members are of middle to lower socio-economic levels.

Another local school support organization is the "patronato escolar." These are similar to P.T.A.s in the United States. Their members are elected by other parents, and patronato activities include raffles and other similar support activities. The role of the patronatos is not as critical in the community as that of the Juntas.

##### **Members of Cantonal Sports Committees (Comité de Deporte Cantonal)**

These Committees administer and maintain sports installations in their communities and promote sports and recreational activities. They are usually comprised of men of lower to middle income levels. The members are appointed by the local municipal councils and often are members of other associations or committees as well.

##### **Political Leaders**

The two major parties have grass roots political leaders and committees in every canton. The members may be of any occupational and income level.

220

### City Managers (Ejecutivo Municipal)

City Managers are important in Municipal affairs at the cantonal level, and those from outside the central valley could be selected for participation in CLASP II. City managers generally are of a low-to-middle income level and usually are high school graduates.

### Small Businessmen and women

To the extent possible these should be persons with no more than five employees who engage in some kind of manufacturing operation. Preference should be for women, although this will imply a heavy emphasis on seamstresses. Identifying such individuals might be done through such private voluntary organizations that support microenterprise operations.

### School Teachers and Directors

The impact of this group both in their communities and on youth is obvious. Members are in lower to middle income groups. Emphasis should be on women in any teaching area (this is a sector with heavy woman membership, and therefore should be a priority for CLASP II), as well as men in the social sciences, humanities, and physical education. These subject areas are specified because the teachers have more leeway in the use of curriculum and therefore may be less constrained to apply the lessons of their training.

### Cantonal Union of Development Associations

The cantonal unions are made up of representatives of the Community Development Associations. While the latter function strictly at the local level, the Unions consider projects which benefit the canton as a whole.

### Directors of Clubs

A wide variety of service clubs and special interest organizations operate at the local level, and directors and key members of clubs which have economic or social goals could be considered for participation. The directors of these clubs tend to be of low to middle income levels; most have at least some secondary schooling.

### Aldermen and Ward Bosses (Regidores y Síndicos)

These are publicly elected officials who form the Municipal Councils in each canton. They serve four-year terms, with the next group taking office in May, 1990. The aldermen are paid for attendance at each session of the municipal council. Among their responsibilities is appointing (and/or removing) the city manager. The ward bosses represent a single district within a canton and attend and participate in municipal council meetings, but have no vote. The aldermen tend to be of a low-to-middle socio-economic level and have some secondary education.

### Clergy

Generally, religious leaders would not be eligible for CLASP II training except under certain circumstances, where their role is in social development in the communities. Many members of the clergy are not Costa Rican.

### Congressmen (Diputados)

The guidance for CAPS warns Missions against selecting participants from the political elite or the appearance of a conflict of interest. While it is true that congressmen from many socio-economic groups sit in the Costa Rican legislature, former diputados could be considered appropriate CLASP II candidates after they have completed their term of office. It is likely that the congressmen from rural areas will exercise a greater leadership role in their communities, both during and after their term as diputados, than their central valley colleagues.

### E. GENDER BIAS

CID noted that women were identified as leaders only rarely in the interviews. In many cantons an older generation of women control access to leadership positions and have systematically suppressed any attempts to gain positions of influence on the part of younger women. Repeatedly, the researchers were referred to a relatively small number of older women who had been around for years. The result is that research did not uncover important sectors where younger women currently exercise a leadership role.

However, given the successful record of the participation of women in CAPS and the guidelines of CLASP II, the Mission will continue to seek, recruit, and select qualified women for all CLASP II training programs.

### F. METHODOLOGY FOR SELECTING SCHOLARSHIP RECIPIENTS

An illustrative worksheet for the evaluation of candidates is presented in the Appendix C. It should be viewed as a guide, subject to the review and modification of the Mission. It addresses both leadership and socio-economic concerns, and the criteria conform to and support the objectives of CLASP

### G. RECOMMENDATIONS FOR SELECTION OF LONG-TERM TRAINEES

In the long-term program, candidates are likely to be potential rather than actual leaders. An examination of the candidates' activities and leadership roles (if any) in their communities, high school, university, and peer relationships will reveal which applicants have more or less leadership potential. Additionally, high personal motivation is related both to leadership potential and to the probability of successful completion of a long-term program, and this can be "measured" through the application, the recommendations, and the personal interview.

CID recommends that USAID work with the National Council on Scientific and Technological Research (CONICIT) list of priority areas of study, or selected elements from the list, rather than to establish its own independent priorities. The list, which is based on research conducted in 1989 by CONICIT among university, private sector, and government leaders, does not include areas such as social sciences or the humanities. It will be useful, however, as a partial guide to projected national needs.

The areas suggested by CONICIT are the following:

Agriculture and Natural Resources, including fields such as non-traditional crop production, natural resource administration, seed technology, plague control, fruit cultivation, ornamental plant production, wood technology, irrigation, and soils analysis.

222

Agro-Industry, including fields such as food technology and perishable product preservation.

Computer Science and High Technology

Private Sector (Business and Industry), including administration and management, automated control systems, and mechanical engineering.

In addition to the above, the Mission will seek qualified candidates for the long-term program in the field of:

Education, including teaching, school administration, and school counseling.

## VII. MISSION ANALY

### A. Target Group

Consistent with the objectives of CLASP II, the observations of CID which are discussed above, and Mission experience with CAPS, CLASP II will focus on developing and strengthening leadership capabilities and technical skills at the local level for the short-term program, and at the national level for the long-term program. Mission experience has shown that key persons involved with problem-solving organizations at the local level are the ideal participants for the short-term component of CAPS. These are generally individuals whose personal characteristics and employment status make them de facto leaders in their communities. The experience of CAPS has demonstrated that the status of these leaders is enhanced, both in the community and in their jobs, through participation in the CAPS short-term program. The result is that the program has gained considerable spread effect through its returned participants.

The CAPS project has focused on certain sectors at the local and national levels. Our experience has been that local leadership benefits from the short-term program, while leadership at the national level is a consequence of the long-term program. This approach has been successful, according to the Mission's own evaluations and those of contractors and of AID/Washington central contractors as well, and the Mission intends to continue this same pattern in the implementation of CLASP II.

Consistent with the recommendations of CID, short-term groups have focused on community development organizations such as Communal Banks, Rural Development Leaders, Municipal Leaders, and Rural Firemen. A successful first group in Juntas de Educación was developed in late 1989, an effort which will be repeated in 1990 and beyond. Additionally, the education sector was amply represented at the local level under CAPS through short-term groups for English teachers and Rural Primary School Directors. Natural Resources Management is an area assuming ever-increasing importance for Costa Rica and for the Mission. One short-term group in Environmental Education will be carried out under CAPS, and the Natural Resources sector will continue to be a priority under CLASP II.

The long-term component of CAPS has emphasized the areas of Education, Agriculture and related areas, Engineering, Business Administration, and computer science. These five sectors account for approximately 70% of the long-term academic participants under CAPS, a pattern which is consistent with the recommendations

of CID and the sectors identified in the CONICIT study. CAPS, therefore, has been relevant to Costa Rica; it has addressed those sectors which have been, are, and are projected to be of importance to Costa Rica's economic development. Not only has CAPS focused on the key sectors of the country, but our participants have been and/or will be leaders in their respective fields throughout Costa Rica. CLASP II will endeavor to continue this record.

One additional point is worth mentioning: the Costa Rica Mission believes that democratic institutions are found at all levels and in all sectors. The history of Costa Rica is one of broad participation, from voting in national elections to involvement in local community organizations dealing with community-specific problems. Leadership is present at all levels and the participation of citizens at the local level in the resolution of their own problems is the finest example of pluralistic democracy. CAPS has supported this tradition in Costa Rica, and CLASP II will continue to support it.

### B. Short-Term Training

Short-term participants are, without exception, employed adults who occupy positions of leadership and have occupational and family responsibilities. Given these constraints, the Mission has noted that short-term programs of 8 weeks in the U.S. are optimal in terms of matching technical objectives with personal time limitations.

The short-term program is appropriate for the training needs and personal constraints of working adults. Longer, academic training would neither enhance the job status of the participants, nor is it likely to be more relevant to their needs than short-term. Mission experience has demonstrated that many returned short-term participants have been elevated to positions of greater responsibility upon their return to Costa Rica. This is due to their participation in a U.S.-based training program, the enhanced technical skills acquired in the U.S., and their own innate leadership traits. In the case of all short-term target groups, the technical specifications of their program are developed jointly with their sponsoring organization and concentrate on skills which are both immediately applicable and easily taught to colleagues upon their return.

### C. Long-Term Training

Long-term training concentrates on two types of leaders: as with the short-term component, which focuses on actual (vs. potential) leaders, the graduate program will seek to identify young persons who have had important work experience in their fields and are in a position to benefit from Masters-level studies. Most participants at the undergraduate level have not had the opportunity to demonstrate leadership in their academic fields. They are determined to be potential leaders based on their participation in school and community organizations, activities, and initiatives, and the extent to which they played a leadership role in some or all of these. The high school program, a special case of potential leaders, will be discussed below.

The long-term program includes an intensive course of English language skills, followed by two years of academic studies. Undergraduate candidates must have passed at least three years leading to the BA/BS degree, called "carrera" in Costa Rica. Graduate students must hold either a BA/BS degree or the Costa Rican "licenciatura," which requires a year of study beyond the bachelor's degree. Most long-term

participants spend about 2 1/2 years in the U.S. (including topping-off English language training). This pattern provides sufficient time in the U.S. for participants to be exposed to American culture and values, as well as to live through two full academic years.

The CAPS long-term program has placed greater emphasis on participants at the graduate (MA/MS) level. In Costa Rica, where education is a national priority and numerous universities exist, almost any person with the desire can study and earn a university degree. This results in the phenomenon, unique in Central America, that in many professional fields the BA/BS degree is supplanted by the MA/MS as the required academic credential. Accordingly, CLASP II will give priority to applicants for graduate programs. Approximately 3/4 of the long-term participants will study at the graduate level and 1/4 will be undergraduates. Important considerations in arriving at this mix have been projected employment opportunities upon the participants' return and the potential for making an impact on the field, and thereby on the development of the country itself.

#### D. High School Program

The High School Program of CAPS has been popular, successful, and cost-effective. It is implemented through a cooperative agreement with the National Foundation of 4-S Clubs in Costa Rica (FUNAC), in collaboration with the National 4-H Council in the U.S. Students are selected from among the target secondary schools in Costa Rica, apply formally to the program through the recommendation of their schools, are interviewed, and finally are selected. The age range is from 15-18, but regardless of the age of the participant, all must return to Costa Rica to finish at least one more year in high school. This is important to the Mission, for returned participants are effective change agents in their schools and communities and provide positive publicity for the program.

The Mission considers that the High School program is critical to meeting the goals of CAPS and CLASP II. Teen-agers are at an impressionable age, when they are forming their own ideals and values. The unfolding of events in the world is input to their thinking, and the interpretation of those events of major importance as they develop their own political, economic, and social philosophies. This is an ideal time to provide bright youngsters with a 9-month experience in the U.S. Participants live with families, work on 4-H type projects during the summer, and attend the local high school with their American brother or sister before returning to Costa Rica. The Mission has been especially satisfied with the quality of participants that have been selected for this program. Because the Mission works through voluntary organizations, the cost of the high school program is relatively low.

#### E. Selection and Recruitment

Recruitment and selection of individuals with the appropriate leadership qualities is perhaps the most critical aspect of CLASP II. Mission experience with CAPS has demonstrated that a many-phased selection process results generally in the most talented candidates. The formal written application is the first step in the process. This is reviewed independently by three members of the Training Division staff, using an evaluation sheet containing the important criteria for selection: socioeconomic status, family income level, the field of study, leadership potential. Those who pass this step are

225\*

invited to an interview. A three-member panel, which includes an outside expert in the candidate's field of study and, where possible, a returned CAPS long-term participant, rates the candidate on the basis of the interview and recommends acceptance or non-acceptance into the program. Finally, the ratings of the interview teams are reviewed by a two-member committee from the Training Division, and final selection is made.

In the short-term and high school programs, the intermediary sponsoring organization and FUNAC, respectively, do a preliminary selection of their top candidates and present their "short list" to the Mission. In all cases the Mission retains the right of final selection. Interviews are done with short-term applicants, where necessary, and with most of the high school candidates.

Under CLASP II, this pattern will be maintained. In the case of the long-term program, however, a preliminary one page application will be the first step in the process. The Training Division will review the pre-application and decide whether to invite the applicant to submit the longer, regular application.

The pre-application will request information based on the general criteria for selection: family income, field of study, parental education and occupations, place of residence, participation in school/community activities, leadership positions, a general statement of personal goals and why their field is important to the development of Costa Rica. The pre-application will enable the Mission to do an initial screening of applications and consider only those who fully qualify for participation under the CLASP II criteria. This should result in considerable savings of resources for the Training Division.

In addition to the intervention of the intermediaries and FUNAC, the Mission recruits potential participants from the different college and university campuses in Costa Rica. USAID and USIS do joint publicity and recruiting and often share applications, where an applicant appears to be more appropriate to the programs of the other agency. Additionally, and consistent with the guidelines of CLASP II, the Mission intends to involve organizations like Peace Corps in the identification and recruitment of promising persons living in more remote areas of the country.

Some of the short-term target groups have a political dimension; rural municipal leaders is a prime example. In groups such as this, the Mission will take the necessary steps to achieve a balance among the different party affiliations. Additionally, persons with less than one year remaining in their term of office will not be eligible for participation.

#### F. Experience America

Mission experience with CAPS clearly indicates that the most effective Experience America activities are those most closely linked with the participants' own occupation or field of study. Accordingly, Experience America activities under CLASP II will be designed specifically to achieve the highest degree of linkage with the technical component of the program. Naturally, these will vary with the nature of the group, but in all cases they will be designed to emphasize key values or ideals that are of particular relevance for the target group. For example, all groups will meet with their professional counterparts at the training site and will visit appropriate installations and facilities (for example, schools,

municipal buildings, health centers, etc.) to gain a sense of the problem-solving institutions that work at the local level. The Experience America program, regardless of the group, will emphasize the problem-solving potential of the local level, the role of individual and group initiative, the importance of broad community participation, and the role of volunteerism in community development.

#### G. Follow-On

The Follow-on program under CLASP II will build on the activities initiated under CAPS: annual meetings of returned participants, a three-day technical workshop delivered by the U.S. contractor approximately 4-6 months after the return of the respective group, a formal Mission evaluation session with each group, support for the network of CAPS returnees, and job search assistance. The follow-on program is guided by the belief that skills upgrading and peer networking are important elements in the community development work of returned participants. Additionally, the ideal of volunteerism will continue to be emphasized in follow-on activities under CLASP II.

Intermediaries will be involved increasingly in co-sponsoring follow-on activities, especially workshops. Additionally, with over 1200 returned participants in all corners of the country, regional meetings, seminars, and workshops will provide a cost-effective means of maintaining contact among the returned participants of any given area, regardless of their occupational field. The series of conferences for returned participants, recently held in the USAID building, underscored the value of such a network.

227+

## LIST OF APPENDICES

### APPENDIX A

Matrix I

### APPENDIX B

Matrix II

### APPENDIX C

Illustrative Worksheet

MATRIX ONE  
KEY SECTORS, INSTITUTIONS AND PROFESSIONS

APPENDIX A

Sphere of Influence	URBAN			RURAL	
	High	Medium Income	Low Income	Medium Income	Low Income
National Issues policies, and concerns	Business Assoc. Industrial Assoc. Professional Assoc. High Government Officials	Journalists Agro-Industry Business/Industrial Assoc. Mid-level public Officials Education Officials Health Officials Natural Resources Assoc. University, Professors/ administrators	Labor Unions Teachers Assoc. NGOs PVOs	Government Officials Church Cooperatives & Agro-business Assoc. Political leaders Community Development Assoc. Branch University Professors/ Administrators	Educators' associati & Committees Community Developmen Volunteer Associatio
Departmental (Province)	Government Officials	Government Officials Private Sector Groups Ministry Representatives and Agents Volunteer Associations			
Municipal Issues, and Policies		Mayor & Municipal Officials Business Assoc./ Groups Cooperatives Agro-business groups Natural Resources organizations	Business Assoc. Cooperatives Agro-business groups Education Committee Natural Resources organizations	Municipal Leaders Private Sector Cooperatives PVOs Education Committees Natural Resources organizations	Municipal Officials Business groups Cooperatives PVOs Educational Committe

MATRIX ONE  
KEY SECTORS, INSTITUTIONS AND PROFESSIONS  
(CONTINUATION)

Sphere of Influence	URBAN			RURAL	
	High	Medium Income	Low Income	Medium Income	Low Income
Community		Small businesses Community Development Organizations Youth Associations Natural Resources Teachers, principals, student leaders PVOs	Small businesses Community Development Organizations Youth Assoc. Scouts Natural Resources Teachers, principals, student leaders Health workers/volunteers	Agro-business Small Businesses  Natural Resources Management Cooperatives Community Development Organizations Scouts PVOs Teachers, principals, student leaders	Agro-business Small Farmers Small Businesses Natural Resources Management Cooperatives Community Development Organizations Scouts PVOs Teachers, principals, student leaders Health workers/volunteers
General		Journalists University professors Sports figures Primary, secondary, vocational schools	Church Teachers (all levels) Youth groups Health workers	Youth groups Student organizations Community Development Assoc. Cooperatives Local businesses	Youth groups Education Committees Student organization Health workers Volunteer association Cooperatives Local businesses Community Development Assor.

250

MATRIX TWO  
 TRAINING PLAN SUMMARY BY SECTOR  
 RURAL DEVELOPMENT SECTOR

APPENDIX B

CATEGORY	RURAL FIREMEN	RURAL (COMMUNITY DEVELOPMENT) LEADERS	COMMUNAL BANKS
NATURE OF INFLUENCE	Attitudes and skills are respected and members are influential in community affairs. Direct working relationship with community development organizations.	Attitudes and skills are respected in community affairs. Work directly with others in the community in activities with high public visibility.	Communal banks affect their Communities, through economic improvement and access to financial resources. Leaders are seen as important community members
INCOME LEVEL	Low-middle	Low-Middle	Low
SPREAD EFFECT	Interaction with local communal youth programs and local community at large.	Direct involvement in Community problems.	Direct through local members who save in Communal banks and who obtain loans. Indirectly through overall positive effect on community development.
SPECIFIC CONCERNS	Articulation of U.S. program with local Costa Rica realities; activities which lessons are easily transferable to Costa Rica.		Communal Banks movement, while expanding, has a weak resource base, relying on loans and grants to provide seed capital. Those resources, if depleted, threaten the entire movement.
SELECTION CRITERIA	Active in occupational and community affairs; nominated by Intermediary, peers and community	Active in community affairs; to be nominated by community and intermediary fellow volunteers.	Active in Communities and leaders of local Communal Banks. Recognized as leaders by peers.
SKILLS TO ACQUIRE	General firefighting, first aid, personal safety, and other technical areas; also leadership, training and communication skills, voluntarism.	Community organization, communication & specific technical skills, as identified and appropriate.	Basic skills in financial management, project design and evaluation, leadership, communications, and group dynamics skills.

231

TRAINING PLAN SUMMARY BY SECTOR  
 RURAL DEVELOPMENT SECTOR  
 (CONTINUED)

CATEGORY	RURAL FIREMEN	RURAL (COMMUNITY DEVELOPMENT) LEADERS	COMMUNAL BANKS
NATURE OF DURATION OF TRAINING	Short-term hands-on technical training: 8 weeks.	Short-term technical training, 8 weeks.	Short-term technical: 8 weeks.
EXPERIENCE AMERICA CONSIDERATIONS	Homestays and overnights in fire stations; social, civic, and cultural activities; pairing with University colleague; the importance in fire prevention.	Visits with U.S. counterpart associations, Municipalities, Volunteer organizations, communal action groups.	Encounters with local Communal Development counterparts, local economic development projects, Municipalities
FOLLOW-ON CONSIDERATIONS	Follow-on technical workshop, networking and involvement with other CLASP returnees, annual CLASP meeting.	Follow-on workshop, networking, annual meeting.	Follow-on workshop, networking, annual meeting.

TRAINING PLAN SUMMARY  
LOCAL GOVERNMENT

CATEGORY	MUNICIPAL LEADERS
NATURE OF INFLUENCE	Influential in community affairs; decision authority on public-funded municipal activities/projects.
INCOME LEVEL	Low-Medium
SPREAD EFFECT	Other staff and council Members, community at large.
SPECIAL CONCERNS	Maintenance of democratic mode of decision-making.
SELECTION CRITERIA	Recommendations from Intermediary, Municipal council, Peace Corp Volunteers where appropriate. At least one year left in term of office.
SKILLS TO ACQUIRE	Contact with Municipal projects such as waste disposal, water supply problems, and basic services; leadership, communication and group dynamics skills; environmental awareness.
NATURE AND DURATION OF TRAINING	Short-term technical training: 8 weeks.
EXPERIENCE AMERICA CONSIDERATIONS	Visit city and town councils, close contact with U.S. local officials, participation in civic and community activities. participation in an on-going community development project.
FOLLOW-ON CONSIDERATIONS	Follow-on workshop, networking among other returnees, annual meeting of Returnees.

TRAINING SUMMARY  
EDUCATION SECTOR

CATEGORY	STUDENT LEADERS	PRIMARY SCHOOL TEACHERS	SCHOOL DIRECTORS	EDUCATION COMMITTEES (JUNTAS)
NATURE OF INFLUENCE	High impact on student values and attitudes throughout his/her lifetime.	High impact on attitudes and skills. Dependent upon level of involvement in community affairs, they are respected and influential.	High impact on student attitudes & skills. Depending on level of involvement in community affairs, they are respected & influential. They also influence teachers & educational authorities in other communities	Impact on parental attitudes and support of local schools. Members usually are leaders in other sectors as well.
INCOME LEVEL	Low-Middle	Low	Low	Low-Medium
SPREAD EFFECT	High impact on other students & through participation in school and community affairs.	Direct to approximately 40 students per year/per educator.	Direct to all teachers & students of school; indirectly to the community.	Directly to the staff of the schools, the students, and to community attitudes in general
SPECIAL CONCERNS	Continued participation in school and community affairs.	Sensitivity to spread effect and influence on students. Articulation of Program goals & local reality to assure transfer of skills to Costa Rica setting.	Sensitivity to the influence of a school director on students & his/her community role. Appropriateness of training to local realities.	Articulation between local reality and U.S. training so that lessons from training are transferable.
SELECTION CRITERIA	Candidates carefully selected with recommendation of school, community, and intermediary	Teachers active in communities; concurrence of Ministry of Education and community.	Candidates of sufficient tenure to ensure their return to their community. Directors who are influential in community affairs are specially viable.	Respected members of Community with sufficient time remaining in term of office to be able to make an impact. Community/peer concurrence of candidate.

TRAINING SUMMARY  
EDUCATION SECTOR  
(CONTINUED)

CATEGORY	STUDENT LEADERS	PRIMARY SCHOOL TEACHERS	SCHOOL DIRECTORS	EDUCATION COMMITTEES (JUNTAS)
SKILLS TO ACQUIRE	Study skills, English language skills, student organization & group techniques, leadership training, volunteerism.	Participatory, teaching techniques, materials development, classroom management, leadership & group organization skills.	Leadership & group organizational techniques, communication skills, technical supervisory skills, evaluation methods, administration skills.	Group organizational techniques, leadership & communication skills, potential benefits, local level initiatives.
NATURE AND DURATION OF TRAINING	Long-term (9 months): one summer plus 6 months in local school.	Short-term; 8 weeks: workshops, observation tours, contact with U.S. colleagues. Also long-term academic.	8 weeks: short-term; observation tours, seminars, individual meetings & activities with counterparts. Also long-term academic.	Short-term technical training: 8 weeks seminars, observation tours, direct communication with U.S. counterparts.
EXPERIENCE AMERICA CONSIDERATIONS	Involvement with 4-H clubs, student groups, living with families, cultural & civic activities.	Meet with Teachers, PTAs, attendance at Educational Conferences; interaction with the community-support organizations.	Meet with Administrators, school officials, attend PTA, School Board, & local town Meetings; sense of school-community interaction & concept of local control voluntarism.	Attend PTA/local town Meetings; direct contact with school officials; fund-raising activities; community support organizations, like PTAs.
FOLLOW-ON CONSIDERATIONS	Networking with other high school trainees & with CLASP regional committees: follow-on workshop 6 months after return to Costa Rica.	Networking among returned trainees. Follow-on workshops, annual meeting, local CLASP committee initiatives.	Networking among returned trainees, technical workshop 6 months after return, annual meeting of CLASP returnees.	Networking among other returned trainees, technical workshop 6 months after return, annual meeting of CLASP returnees.

235

TRAINING PLAN SUMMARY  
AGRICULTURE/NATURAL RESOURCES SECTOR

CATEGORY	OCCUPATIONS AFFECTING THE ENVIRONMENT/ NATURAL RESOURCES MANAGEMENT	INDIVIDUALS WORKING WITH AGRICULTURAL INSTITUTIONS (PVOS, NGOS)	COOPERATIVE MEMBERS
NATURE OF INFLUENCE	Attitudes and skills are respected influential in community affairs.	Potential long-term/Impact on Agriculture & Natural Resources policy issues.	Attitudes & skills of coop. presidents and active members are respected and influential in community affairs, individually or through participation in local associations
INCOME LEVEL	Low-Middle	Low-Middle	Low
SPREAD EFFECT	Direct to immediate contacts, indirect to entire communities.	Through appropriate organizations, groups &/or companies to a district -or region- wide area; via direct contact with community members of a given environment or agricultural area.	Direct to coop. members, indirect impact on others through contact with coop.
SPECIAL CONCERNS	Lack of awareness of the need for natural resources conservation and Management; conflicts between economic needs & conservation needs.	Frequent disagreement within communities about objectives, coupled with lack of coordination among groups to undertake projects. Conflict between economic & environmental objectives.	Limited management skills, marketing strategies, entrepreneurial attitudes.
SELECTION CRITERIA	Active participation in community affairs & activities with natural resources management/conservation dimension. Recognition as leader by peers, and community.	Active participation in community affairs & agricultural/natural resources related community projects; to be nominated by community & peers & recognized as leaders.	Active coop. members, recognized as leaders and nominated by peers and community.
SKILLS TO ACQUIRE	Community organization, communication, identification of environmental impacts; leadership skills.	Academic studies in appropriate areas, as well as leadership, communication, & group dynamics skills; role of volunteerism.	Management of savings/loans, marketing strategies, agricultural production, record keeping management, community organization, leadership skills.

TRAINING PLAN SUMMARY  
 AGRICULTURE SECTOR/NATURAL RESOURCES SECTOR  
 (CONTINUATION)

CATEGORY	OCCUPATIONS AFFECTING THE ENVIRONMENT/ NATURAL RESOURCES MANAGEMENT	INDIVIDUALS WORKING WITH AGRICULTURAL INSTITUTIONS (PVOS, NGOS)	COOPERATIVE MEMBERS
NATURE AND DURATION OF TRAINING	Short-term technical training seminars; workshops; field visits; courses (8 weeks).	Long-term (2 years) academic training; short-term technical training (8 weeks).	Short-term technical training seminars/workshops/coop. visits: 8 weeks.
EXPERIENCE AMERICA CONSIDERATIONS	Visit groups concerned with rural environmental problems, especially relating to agriculture & forestry to get an understanding of volunteerism & community organization. Homestays; observe environmental educational projects.	Visit environmental conservation projects; direct contact with advocate & opposition groups; observe resolution of conflicts; projects of scouts & other organizations, community action projects.	Meet coop. members & work in coops; participate in coop. meetings & observe the organization of coop. services, homestays.
FOLLOW-ON CONSIDERATIONS	Follow-on workshops; networking among Returnees, annual Returnees Meeting.	Follow-on workshops, networking, annual meeting.	Follow-on workshops, networking, annual meeting.

237x

TRAINING PLAN SUMMARY  
AGRICULTURE SECTOR/NATURAL RESOURCES SECTOR

(CONTINUATION)

CATEGORY	AGRONOMY & RELATED AREAS
NATURE OF INFLUENCE	Attitudes & skills are respected in communities. Impact on policy at the National level affects entire regions.
INCOME LEVEL	Low-Middle
SPREAD EFFECT	Directly through services provided to coops, associations and farmers. Indirectly through policy deliberations.
SPECIAL CONCERNS	Soil conservation and appropriate use of chemical pesticides are especially important for Costa Rica.
SELECTION CRITERIA	Direct experience in agricultural areas; appropriate academic preparation acceptable grade average; leadership skills (actual or potential).
SKILLS TO ACQUIRE	Academic training in the subject matter; communications, organizational and management, and leadership skills.
NATURE AND DURATION OF TRAINING	Long-term, academic: 2 years.
EXPERIENCE AMERICA CONSIDERATIONS	Visits and field work to agricultural centers; work in agricultural information dissemination centers; visit rural municipalities and agricultural extension offices.
FOLLOW-ON CONSIDERATIONS	Follow-on workshop, networking with other Returnees, communication with U.S. colleagues, annual returned participants meeting.

TRAINING PLAN SUMMARY  
HEALTH SECTOR

CATEGORY	PUBLIC HEALTH WORKERS
NATURE OF INFLUENCE	Attitudes & skills are known and respected in worker's own and surrounding countries.
INCOME LEVEL	Low-Middle
SPREAD EFFECT	Directly through contacts with women and adolescents in communities; indirectly through impact on the family.
SPECIAL CONCERNS	Limited technical/administrative support; problems modifying traditional attitudes and habits.
SELECTION CRITERIA	Active participation professionally in community. Recognition as leaders by peers and communication.
SKILLS TO ACQUIRE	Technical, health services delivery alternatives; communication, leadership and organizational skills.
NATURE AND DURATION OF TRAINING	Short-term, technical: 8 weeks.
EXPERIENCE AMERICA CONSIDERATIONS	Visit clinics, shadow and work with U.S. colleagues; meet support groups; visit health information dissemination organizations.
FOLLOW-ON CONSIDERATIONS	Follow-on

2394

TRAINING PLAN SUMMARY  
PRIVATE SECTOR

CATEGORY	HIGH TECH. BUSINESS AND INDUSTRY PROFESSIONALS
NATURE OF INFLUENCE	Attitudes & skills Levels of companies, organizations, and ministries.
INCOME LEVEL	Medium
SPREAD EFFECT	Indirectly through the Private Sector.
SPECIAL CONCERNS	Articulating the needs of the Private Sector with the fields of participants; employment opportunities upon their return.
SELECTION CRITERIA	Individuals who show leadership, knowledge of current and future trends in their field, technical expertise, acceptable grade average.
SKILLS TO ACQUIRE	Academic training leading to BS or MS degree. Leadership training, volunteerism.
NATURE AND DURATION OF TRAINING	Long-term, academic: 2 years.
EXPERIENCE AMERICA CONSIDERATIONS	Internships with companies; homestays; participation in Private Sector community support groups like Rotary, Chamber of Commerce.
FOLLOW-ON CONSIDERATIONS	Membership in professional societies, contact with U.S. colleagues, networking in Costa Rica with Returnees, annual CLASP Meeting.

APPENDIX C

Illustrative Worksheet for Evaluation of ( ) LASP II Applicants

APPLICANT'S NAME \_\_\_\_\_ total score \_\_\_\_\_

A. Personal Data score \_\_\_\_\_

1. gender (male = 0; female = 4) score \_\_\_\_\_

2. age (20-25 = 2; 25-30 = 4; 30-35 = 2) score \_\_\_\_\_

B. Family Economic Data score \_\_\_\_\_

3. Total monthly family income score \_\_\_\_\_

- less than \$352 = 4
- \$352-\$705 = 3
- over \$705 = 0

4. Applicant's monthly income (same scoring as No. 3) score \_\_\_\_\_

5. Parent's monthly income (same scoring as No. 3) score \_\_\_\_\_

C. Social Data score \_\_\_\_\_

6. Number of persons in the household score \_\_\_\_\_

7. Place of residence score \_\_\_\_\_

- central valley = 1
- municipality outside central valley = 3
- rural area = 4

8. House is rented or owned? (rented = 5; owned = 0) score \_\_\_\_\_

9. Education level of candidate score \_\_\_\_\_

- 0-6 years = 2
- 7-9 years = 4
- 9-12 years = 3
- post-secondary = 0

10. Occupation/profession of candidate score \_\_\_\_\_

- working class (small farmer, artisan) = 4
- blue collar (factory or business emp) = 3
- semi-professional (bookkeeper, tea) = 2
- professional (physician, attorney, m) = 0

11. Candidate is involved with economic activities through associations or org score \_\_\_\_\_

- yes = 5
- no = 0

241 +

**12. Father**

- a. lives at home with the candidate's family score \_\_\_\_  
yes = 0
- no = 5
- b. years of education (same scoring as No. 9) score \_\_\_\_
- c. occupation or profession (same scoring as No. 10) score \_\_\_\_

**13. Mother**

- a. lives at home with the candidate's family score \_\_\_\_  
(same scoring as 12a)
- b. years of education (same scoring as No. 9) score \_\_\_\_
- c. occupation or profession (same scoring as No. 10) score \_\_\_\_

**D. Leadership Data** score \_\_\_\_

- 14. Participates in extra-curricular activities or voluntary organizations** score \_\_\_\_
- active, including leadership positions = 5
  - active, but no leadership positions = 3
  - belongs, but not active = 1
  - does not belong = 0

- 15. Well-known in community (yes = 3; no = 0)** score \_\_\_\_

- 16. Well-informed on community problems (yes = 5; no = 0)** score \_\_\_\_

- 17. Good speaker (yes = 5; no = 0)** score \_\_\_\_

- 18. Grade point average (long-term candidate)** score \_\_\_\_

- 9.5 - 10 = 5
- 9.0 - 9.5 = 4
- 8.5 - 9.0 = 3
- 8.0 - 8.5 = 2

- 19. Has worked during school or vacation periods** score \_\_\_\_  
yes = 4; no = 0

- 20. Personal Motivation** score \_\_\_\_

- high: can articulate personal goals = 5  
and works to attain them
- medium: has some goals and movement = 3  
towards them is occasional
- low: personal goals not easily articulated, = 0  
movement is sporadic



UNCLASSIFIED STATE 116995

COMMITTEE SUGGESTS THAT THE MISSION MAY WISH TO FURTHER EXAMINE THE ABOVE ASSUMPTION. DO THE MORE DISADVANTAGED HAVE THE OPPORTUNITY TO OBTAIN UNIVERSITY DEGREES IN COSTA RICA? HOW DO THEY FUND THEIR TUITION AND LIVING COSTS TO ATTEND UNIVERSITIES? DO RURAL STUDENTS HAVE ACCESS EQUAL TO URBAN STUDENTS? BASED ON A REVIEW THE MISSION MAY WISH TO MAKE AN ADJUSTMENT TO THE MA/MS VERSUS BA/BS DEGREE SPLIT.

5. MISSION IS REQUESTED TO CONSIDER THE ABOVE COMMENTS AND ADDRESS THEM IN THE CLASP-II PROJECT PAPER. BAKER  
BT  
#6995

NNNN

UNCLASSIFIED STATE 116995

244

Proyecto A.I.D. No. 515-0254

ACUERDO DE ASISTENCIA  
ENTRE  
EL GOBIERNO DE COSTA RICA  
Y  
LOS ESTADOS UNIDOS DE AMERICA  
PARA  
EL PROYECTO DE BECAS PARA LA PAZ PARA CENTROAMERICA II (CAPS II)

FECHA: 4 de mayo de 1990

A.I.D. Project No. 515-0254

ASSISTANCE AGREEMENT  
BETWEEN  
THE GOVERNMENT OF COSTA RICA  
AND  
THE UNITED STATES OF AMERICA  
FOR  
THE CENTRAL AMERICAN PEACE SCHOLARSHIP PROJECT II (CAPS II)

DATE: May 4 , 1990

245

ACUERDO DE ASISTENCIA para el Proyecto de Becas para la Paz para Centroamérica (CAPS II) de fecha 4 de mayo de 1990, entre el Gobierno de Costa Rica (al que se hace referencia más adelante como GOCR) representado por el Ministerio de la Presidencia, y los Estados Unidos de América, actuando por medio de la Agencia para el Desarrollo Internacional y la Agencia para el Desarrollo Internacional (a la que se hace referencia más adelante como A.I.D.), llamados en conjunto las "Partes".

POR CUANTO, los Gobiernos de Costa Rica y los Estados Unidos de América suscribieron un "Convenio para Ayuda Técnica, Económica y para Propósitos Afines" ("Convenio General"), aprobado por la Ley de Costa Rica No. 3011 del 18 de julio de 1962, según el cual el Gobierno de los Estados Unidos proporcionará ayuda económica y técnica conforme a acuerdos escritos y firmados por representantes de ambos Gobiernos;

POR CUANTO, el Convenio General establece que la ayuda que los Estados Unidos proporcione se usará con propósitos de desarrollo nacional y de progreso social y económico;

POR CUANTO, Los Gobiernos de Costa Rica y la Agencia para el Desarrollo Internacional suscribieron, el 23 de diciembre de 1988, un Acuerdo ("Acuerdo de Ejecución") para la adecuada ejecución del Convenio General y a fin de establecer mecanismos eficientes para aprovechar los propósitos comunes de cooperación, definiendo las formas de esa cooperación, los programas y actividades hacia los que se destinará;

POR CUANTO, el Gobierno de los Estados Unidos, por medio de la A.I.D., desea proporcionar ayuda para fortalecer tres procesos en Costa Rica: la democracia pluralista, la economía de

PROJECT ASSISTANCE AGREEMENT for the Central American Peace Scholarship Project (CAPS II) dated May 4, 1990, between the Government of Costa Rica (hereinafter referred to as the GOCR) represented by the Ministry of the Presidency and the United States of America, acting through the Agency for International Development (hereinafter referred to as A.I.D.), together referred to as the "Parties".

WHEREAS, the Governments of Costa Rica and the United States of America entered into a General Agreement for Economic, Technical and Related Assistance ("General Agreement"), which was approved by Costa Rica Law 3011 of July 18, 1962, under which economic and technical assistance from the Government of the United States would be provided in accordance with agreements written and signed between representatives of both Governments;

WHEREAS, the General Agreement establishes that the assistance provided by the United States will be for the purpose of national development and economic and social progress;

WHEREAS, The GOCR and A.I.D. signed an Agreement, on December 23, 1988, ("Implementation Agreement") to ensure the satisfactory implementation of the General Agreement and to establish efficient mechanisms in their common interest, defining those forms of cooperation and the programs and activities to which the assistance under the General Agreement is destined;

WHEREAS, the Government of the United States, through A.I.D., wishes to provide assistance to strengthen three processes in Costa Rica: pluralist democracy, free enterprise

libre empresa y un amplio desarrollo económico por medio de la capacitación.

market economy, and broad based economic development through the provision of training.

AHORA, POR LO TANTO, las Partes, en aplicación del Convenio General antes mencionado, establecen su entendimiento con respecto a la asistencia para la realización del proyecto descrito más adelante y a la financiación del mismo, y acuerdan lo siguiente:

NOW, THEREFORE, the Parties, applying the above mentioned General Agreement, set out their understandings with respect to the assistance for undertaking the Project described below, and with respect to the financing of the Project and agree as follows:

## ARTICULO I

## ARTICLE I

### El Proyecto

### The Project

#### SECCION 1.1. Definición del Proyecto

#### SECTION 1.1. Definition of the Project

El Proyecto, el cual se describe en detalle en el Anexo I de este Acuerdo, proporcionará a líderes y líderes potenciales capacitación con el fin de mejorar significativamente sus habilidades, capacidades de liderazgo, potencial académico, y apreciación del valor de las instituciones democráticas y de la economía de libre empresa. El Proyecto de ocho años de duración se compondrá de tres elementos:

The Project, which is further described in Annex I of this Agreement, will provide leaders and potential leaders training to significantly enhance their skills, leadership capabilities, career potential, and appreciation for the value of democratic institutions and free enterprise economies. The eight year project will have three elements:

#### 1. Capacitación Técnica a Corto Plazo

#### 1. Short-Term Technical Training

Este componente del Proyecto es esencialmente un programa de servicio educativo para adultos. Se seleccionarán y se capacitarán grupos para programas de corto plazo bajo CAPS II. Las áreas meta para la capacitación a corto plazo se enfocarán hacia organizaciones que promuevan el desarrollo democrático, económico y social a nivel local. Esto proporcionará un contraste balanceado con respecto al enfoque del componente académico a largo plazo.

This component of the Project is essentially an in-service, adult education program. Short-term groups will be selected and trained under CAPS II. Target areas for short-term training will focus on economic and social, and democratic development promotion organizations at the local level. This will provide a balanced contrast to the focus of the long-term academic component.

#### 2. Capacitación Técnica a Largo Plazo (Escuela Secundaria)

#### 2. Long-Term Technical Training (High School)

El programa de Escuela Secundaria seleccionará a los estudiantes entre aquellos que apliquen formalmente al

The High School program will select students from among those who apply formally to the program through

programa por medio de una recomendación de sus escuelas. Las edades oscilarán entre los 15 y 18 años. Este es el momento propicio para brindar a jóvenes una experiencia educativa en los Estados Unidos.

### 3. Capacitación Académica a Largo Plazo

Este componente se enfocará hacia líderes actuales y potenciales. Se buscará identificar jóvenes que hayan tenido experiencia laboral importante en sus áreas de trabajo y que están en posición de beneficiarse de estudios a nivel de maestría. También se buscará estudiantes no graduados quienes, aunque no han tenido la oportunidad de demostrar liderazgo en sus áreas de estudio, han demostrado su potencial de liderazgo por su participación en las actividades e iniciativas de instituciones académicas y comunales.

Dentro de los límites de la definición anterior del Proyecto, los elementos de la descripción amplificada estipuladas en el Anexo I a este Acuerdo, podrán ser modificadas por escrito por los representantes de las Partes debidamente autorizados de acuerdo con la Sección 7.2, sin que sea necesario efectuar una enmienda formal a este Acuerdo.

#### SECCION 1.2. Naturaleza Aumentativa de la Financiación del Proyecto

A. El aporte de A.I.D. para el financiamiento del proyecto se suministrará por medio de incrementos. El incremento inicial se efectuará de acuerdo con la Sección 2.1 de este Acuerdo. Los incrementos posteriores estarán sujetos a la disponibilidad de fondos de la A.I.D. para este propósito, y al acuerdo mutuo de las Partes al respecto, en el momento de efectuarse dicho incremento. El monto total del aporte no excederá la suma de Quince Millones de Dólares de los Estados Unidos (\$15,000,000).

the recommendation of their schools. The age range will be from 15-18. This is an ideal time to provide bright youngsters with an educational experience in the U.S.

### 3. Long-Term Academic Training

This component will focus on actual and potential leaders. It will seek to identify young persons who have had important work experience in their fields and are in a position to benefit from Masters-level studies. It will also seek participants at the undergraduate level who, although have not had the opportunity to demonstrate leadership in their academic fields, have demonstrated their potential leadership by their participation in school and community organizations, activities, and initiatives.

Within the limits of the above definition of the Project, the elements of the amplified description stated in Annex I may be changed jointly in writing by the authorized representatives of the Parties named in Section 7.2., without formal amendment of this Agreement.

#### SECTION 1.2. Incremental Nature of Project Financing

A. A.I.D.'s contribution to financing the project will be provided in increments, the initial one being made in accordance with Section 2.1 of this Agreement, and subsequent increments to the Project will be subject to the availability of funds to A.I.D. for this purpose, and to the mutual agreement of the Parties, at the time of a subsequent increment, to proceed. The total planned contribution by A.I.D. will not exceed Fifteen Million United States Dollars (\$15,000,000) in assistance.

248

B. Dentro de la Fecha de Terminación de la Asistencia al Proyecto estipulada en este Acuerdo, la A.I.D., en consulta con el Ministerio de la Presidencia, podrá especificar por medio de Cartas de Cumplimiento de Proyecto los períodos de tiempo apropiados para la utilización de la Asistencia.

B. Within the overall Project Assistance Completion Date stated in this Agreement, A.I.D., based upon consultation with the Ministry of the Presidency, may specify in Project Implementation Letters appropriate time periods for the utilization of the Assistance.

## ARTICULO II

## ARTICLE II

### Financiamiento

### Financing

#### SECCION 2.1. Asistencia en Dólares

#### SECTION 2.1. U.S. Dollar Assistance

A. Con el fin de ayudar al GOCR en sus esfuerzos por desarrollar la educación y los recursos humanos equipando a un amplio número de líderes y líderes potenciales en Costa Rica con habilidades técnicas, capacitación y educación académica, y una mayor apreciación y entendimiento del funcionamiento de una economía de libre empresa en una sociedad democrática, la A.I.D., de conformidad con el Acta de Asistencia al Exterior de 1961 y sus enmiendas, aporta, bajo los términos de este Acuerdo, una cantidad que no exceda los Dos Millones de Dólares de los Estados Unidos (\$2,000,000) en asistencia ("Asistencia").

A. To assist the GOCR to carry out its time-honored support for education and human resource development by equipping a broad base of leaders and potential leaders in Costa Rica with technical skills, training and academic education and a deeper appreciation and understanding of the workings of a free enterprise economy in a democratic society, A.I.D., pursuant to the Foreign Assistance Act of 1961, as amended, grants, under the terms of this Agreement, an amount not to exceed Two Million United States Dollars (\$2,000,000) in assistance ("Assistance").

B. La Asistencia por el monto de Dos Millones de Dólares de los Estados Unidos (\$2,000,000) podrá utilizarse para financiar gastos en divisas, según se define en la Sección 5.A., y gastos en moneda local según se define en la Sección 5.B. de bienes y servicios requeridos para el Proyecto.

B. The Assistance of Two Million United States Dollars (\$2,000,000) may be used to finance foreign exchange costs, as defined in Section 5.A., and local currency costs as defined in Section 5.B. of goods and services required for the Project.

#### SECCION 2.2. Apoyo del Gobierno de Costa Rica

#### SECTION 2.2. Support of the Government of Costa Rica

A. Con el fin de que la ayuda que se va a proporcionar bajo el proyecto pueda efectuarse en forma eficaz y oportuna, el GOCR brindará el apoyo necesario para

A. In order that the assistance to be given under the project can be carried out in an efficient and opportune manner, the GOCR, acting within its

la buena ejecución del Proyecto, siempre actuando en el ámbito de sus facultades legales.

legal powers, agrees to provide the necessary support to carry out the Project.

**SECCION 2.3 Fecha de Terminación de la Asistencia al Proyecto**

**SECTION 2.3. Project Assistance Completion Date**

A. La Fecha de Terminación de la Asistencia al Proyecto (FTAP), que es el 30 de septiembre de 1998, o cualquiera otra fecha que las Partes acuerden por escrito, es la fecha en la que las Partes consideran que todos los bienes y servicios provistos bajo la Asistencia de la A.I.D. para el Proyecto han sido suministrados según se contempla en este Acuerdo.

A. The Project Assistance Completion Date (PACD), which is September 30, 1998, or such other date as the Parties may agree to in writing, is the date by which the Parties estimate that all the goods and services provided with the Assistance by A.I.D. for the Project will have been performed and furnished as contemplated in this Agreement.

B. A menos que la A.I.D. acuerde de otra forma por escrito, la A.I.D. no emitirá ni aprobará ninguna documentación que autorice pagos para proveer bienes o servicios comprendidos por la asistencia bajo el Proyecto en fecha posterior al FTAP, según se estipula en este Acuerdo.

B. Except as A.I.D. may otherwise agree in writing, A.I.D. will not issue or approve documentation which would authorize payments to provide goods and services included in the assistance under the Project subsequent to the PACD, as contemplated in this Agreement.

C. Las solicitudes de pagos con fondos destinados para la asistencia junto con la documentación de apoyo descrita en las Cartas de Cumplimiento, deben ser recibidas por la A.I.D. o cualquier banco especificado en la Sección 6.1, a más tardar nueve (9) meses después del FTAP, o cualquier otro período que la A.I.D. acuerde por escrito. Después de dicho período, la A.I.D., mediante notificación previa escrita a las Partes podrá en cualquier momento reducir el monto de la Asistencia en su totalidad o en parte por la suma de la solicitud de pago junto con la documentación de apoyo descrita en las Cartas de Cumplimiento de Proyecto, que se haya recibido antes de que expire dicho período.

C. Requests for payments from funds allocated for the assistance accompanied by necessary supporting documentation prescribed in Project Implementation Letters, are to be received by A.I.D. or any bank described in Section 6.1, no later than nine (9) months following the PACD, or such other period as A.I.D. agrees to in writing. After such period, A.I.D., giving prior notice in writing to the Parties may at any time or times reduce the amount of the Assistance by all or any part thereof for which requests for payment, accompanied by necessary supporting documentation prescribed in Project Implementation Letters, were not received before the expiration of said period.

**ARTICULO III**

**ARTICLE III**

**Condiciones Previas al Pago de la Asistencia y Desembolso de los Recursos**

**Conditions Precedent to Assistance Payments and Disbursement of Resources**

250 \*

**SECCION 3.1. Primer Pago de la Asistencia y Primer Desembolso de los Recursos**

A. Antes de que la A.I.D. efectúe el primer pago para proporcionar la asistencia contemplada en este Proyecto, o antes de que la A.I.D. emita documentación conforme a la cual se hará el desembolso, el Ministerio de la Presidencia proporcionará a la A.I.D., a menos que las Partes acuerden de otra forma por escrito, en forma y contenido satisfactorios para la A.I.D., lo siguiente:

1. Una opinión legal del Procurador General de la República que certifique que este Acuerdo se suscribe en el ámbito del Convenio General que ha sido debidamente ratificado mediante la Ley No. 3011 del 18 de julio de 1962, asimismo que el Ministro ha sido debidamente autorizado para este efecto, y que este Acuerdo constituye un compromiso válido y legalmente obligatorio para el GOCR de conformidad con todos sus términos;

2. Una certificación del nombre de la persona que ostente el cargo en función o interinamente en la oficina del Ministro de la Presidencia según se especifica en la Sección 7.2, y de cualesquiera otros representantes adicionales, juntamente con el registro autenticado de las firmas de las personas que se especifican en dicha certificación.

**SECCION 3.2. Notificación**

Una vez que la A.I.D. haya determinado que las Condiciones Previas especificadas en la Sección 3.1 han sido cumplidas, lo notificará con prontitud al Ministerio de la Presidencia.

**SECCION 3.3. Fecha de Terminación de las Condiciones Previas**

**SECTION 3.1. First Assistance Payment and First Disbursement of Resources**

A. Prior to A.I.D. making the first Assistance payment to provide the assistance contemplated under the Project, or to the issuance by A.I.D. of documentation pursuant to which disbursement will be made, the Ministry of the Presidency will, except as the Parties may otherwise agree in writing, furnish to A.I.D., in form and substance satisfactory to A.I.D., the following:

1. A legal opinion of the Attorney General of the Republic certifying that this Agreement is signed within the scope of the General Agreement that has been duly ratified through Law No. 3011 of July 18, 1962, and that the Minister has been duly authorized to sign it, and constitutes a valid and legally binding obligation of the GOCR in accordance with all of its terms;

2. A statement of the name of the person holding or acting in the office of the Ministry of the Presidency specified in Section 7.2 and of any additional representatives, together with a specimen signature of each person specified in such statement.

**SECTION 3.2. Notification**

When A.I.D. has determined that the Conditions Precedent specified in Section 3.1. have been met, it will promptly notify the Ministry of the Presidency.

**SECTION 3.3. Terminal Date for Conditions Precedent**

251

Si todas las condiciones estipuladas en la Sección 3.1.A. no han sido cumplidas dentro de los 60 días posteriores a la fecha de la firma de este Acuerdo, o en una fecha posterior a la que la A.I.D. acuerde por escrito, la A.I.D. asesorará al Ministerio de la Presidencia, y a la opción de A.I.D., puede dar por terminado este Acuerdo mediante notificación escrita al Ministerio de la Presidencia.

#### ARTICULO IV

##### Estipulaciones Especiales

##### SECCION 4.1. Evaluación del Proyecto

Excepto que se convenga de otra forma por escrito, las Partes establecerán como parte del Proyecto un programa de evaluación que incluirá una reunión anual de las Partes para revisar el progreso de las actividades consolidadas del Proyecto. El programa de evaluación incluirá:

- A. identificación y evaluación de las áreas problemáticas u obstáculos que pueden impedir los objetivos del Proyecto;
- B. Análisis de como tal información puede ser usada para ayudar a solucionar dichos problemas; y
- C. Evaluación, en el tanto que sea factible, del impacto que el Proyecto ha tenido en la ejecución de la estrategia de desarrollo para Costa Rica.

##### SECCION 4.2. Adquisición de Bienes y Servicios y Desembolso de la Asistencia

Las Partes acuerdan que, con respecto a la Asistencia proporcionada conforme a la Sección 2.1. de este Acuerdo, la A.I.D. motu proprio contratará y

If all the conditions specified in Section 3.1.A. have not been met within 60 days of the signing of this Agreement, or such later date as A.I.D. may agree to in writing, A.I.D. will advise the Ministry of the Presidency, and then at A.I.D.'s option, may terminate this Agreement by written notice to the Ministry of the Presidency.

#### ARTICLE IV

##### Special Covenants

##### SECTION 4.1. Project Evaluation

Except as may be agreed otherwise in writing, the Parties shall establish an evaluation program as part of the Project, including an annual meeting of the Parties to review the progress of Project funded activities. The evaluation program will include:

- A. Identification and evaluation of problem areas or constraints which may inhibit attainment of Project objectives;
- B. Assessment of how such information may be used to help overcome such problems; and
- C. Evaluation, to the degree feasible, of the impact the Project has had in implementing the development strategy for Costa Rica.

##### SECTION 4.2. Procurement and Disbursement of the Assistance

The Parties agree that, with respect to the Assistance provided pursuant to Section 2.1. of this Agreement, A.I.D. motu proprio (on its own initiative)

desembolsará directamente para los bienes y servicios que se requieren al tenor de este Acuerdo.

will contract and disburse directly for the goods and services required under this Agreement.

## ARTICULO V

## ARTICLE V

### Proveedores

### Procurement Source

#### SECCION 5. Obtención de Bienes y Servicios

#### SECTION 5. Procurement

De conformidad con la parte del Artículo VI del Convenio General que establece que el suministro de asistencia bajo el mismo estará sujeto a las leyes y reglamentos pertinentes del Gobierno de los Estados Unidos de América, las siguientes cláusulas forman parte de este Acuerdo :

Pursuant to the part of Article VI of the General Agreement that states that the provision of assistance under that General Agreement will be subject to the applicable laws and regulations of the Government of the United States of America, the following clauses form part of this Agreement:

A. Costos en Moneda Extranjera. Los pagos efectuados por la A.I.D. de conformidad con la Sección 6.1 serán utilizados exclusivamente para financiar los costos de bienes y servicios requeridos para el Proyecto, que tengan, con respecto a bienes, su fuente y origen, y con respecto a servicios, su nacionalidad en los Estados Unidos (Código 000 del Código Geográfico de la A.I.D.) vigente en el momento en que se hagan los pedidos o se firmen los contratos para dichos bienes y servicios o en Costa Rica ("Costos en Moneda Extranjera"), excepto que la A.I.D. acuerde de otra forma por escrito, y con excepción de lo dispuesto en el Anexo II sobre Disposiciones Estandarizadas de la Asistencia para el Proyecto, Sección C.1.(b), referente al seguro marítimo. Por la misma razón, los gastos de transporte marítimo serán financiados con fondos del Proyecto únicamente si se utilizan barcos registrados con bandera de los Estados Unidos, excepto que la A.I.D. acuerde de otra forma por escrito.

A. Foreign Exchange Costs. Payments made by A.I.D. pursuant to Section 6.1 will be used exclusively to finance the cost of goods and services required by the Project having, with respect to goods, their source and origin, and with respect to services, their nationality in the United States (Code 000 of the A.I.D. Geographic Code Book) as in effect at the time orders are placed or contracts are entered into for such goods or services or in Costa Rica ("Foreign Exchange Costs"), except as A.I.D. may otherwise agree in writing, and except as provided for in the Project Assistance Standard Provisions Annex II, Section C.1.(b), with respect to marine insurance. For the same reason, ocean transportation costs will be financed with Project funds only on vessels under flag registry of the United States, except as A.I.D. may otherwise agree in writing.

B. Gastos en Moneda Local. Los pagos de conformidad con la Sección

B. Local Currency Costs. Payments pursuant to Section 6.2. will be

253

6.2 se efectuarán exclusivamente para financiar el costo de bienes y servicios requeridos para el Proyecto que tengan su fuente y, a no ser que la A.I.D. acuerde de otra forma por escrito, su origen en los Estados Unidos o en Costa Rica ("Gastos en Moneda Local").

ARTICULO VI

Pagos

SECCION 6.1. Pagos por Gastos en Moneda Extranjera

A. Una vez cumplidas las Condiciones Previas de la Sección 3.1.A., la A.I.D. podrá efectuar pagos por Gastos en Moneda Extranjera de bienes y servicios requeridos para el Proyecto de conformidad con los términos de este Acuerdo directamente al proveedor al presentar a la A.I.D. la documentación de apoyo necesaria, de acuerdo con lo especificado en las Cartas de Cumplimiento de Proyecto, solicitando a la A.I.D. la adquisición de artículos o servicios para el Proyecto.

SECCION 6.2. Pagos por Gastos en Moneda Local

A. Una vez cumplidas las Condiciones Previas de la Sección 3.1.A., la A.I.D. podrá efectuar desembolsos para gastos incurridos en moneda local de bienes y servicios requeridos por el Proyecto de conformidad con los términos de este Acuerdo directamente al proveedor al presentar a la A.I.D. la documentación de apoyo necesaria, según se especifica en las Cartas de Cumplimiento de Proyecto, solicitando a la A.I.D. la adquisición de artículos o servicios para el Proyecto.

B. La moneda local necesaria para tales pagos pueden obtenerse mediante la compra por parte de A.I.D. con dólares de los EE.UU. (o con moneda local que el Gobierno de los Estados Unidos ya posee).

used exclusively to finance the costs of goods and services required for the Project having their source and, except as A.I.D. may otherwise agree in writing, their origin in the United States or in Costa Rica ("Local Currency Costs").

ARTICLE VI

Payments

SECTION 6.1. Payments for Foreign Exchange Costs

A. After satisfaction of Conditions Precedent in Section 3.1.A., disbursements may be made by A.I.D. for the Foreign Exchange Costs of goods or services required for the Project in accordance with the terms of this Agreement directly to the supplier upon submission to A.I.D. of the necessary supporting documentation, as prescribed in Project Implementation Letters, requesting A.I.D. to procure commodities or services for the Project.

SECTION 6.2. Payment for Local Currency Costs

A. After satisfaction of Conditions Precedent in Section 3.1.A., disbursements may be made by A.I.D. for the local currency costs of goods or services required for the Project in accordance with the terms of this Agreement directly to the supplier upon submission to A.I.D. of the necessary supporting documentation, as prescribed in Project Implementation Letters, requesting A.I.D. to procure commodities or services for the Project.

B. The local currency needed for such payments may be obtained by acquisition by A.I.D. with U.S. dollars by purchase (or from local currency already owned by the U.S. Government).

254<sup>1</sup>

**SECCION 6.3. Otras Formas de Pago**

Los pagos con fondos suministrados para la asistencia también pueden efectuarse por otros medios legalmente posibles que pueden acordarse por escrito.

**SECCION 6.4. Tipo de Cambio**

Excepto por lo establecido específicamente en la Sección 6.2. de este Acuerdo, y de conformidad con el Artículo V del Convenio General, los fondos asignados a este Proyecto, si es necesario, podrán convertirse en moneda costarricense al tipo de cambio que produzca el mayor número de unidades de dicha moneda por cada dólar estadounidense que en el momento en que se haga la conversión no sea ilegal en Costa Rica.

**ARTICULO VII**

**Misceláneos**

**SECCION 7.1. Comunicaciones**

Cualquier notificación, solicitud, documento, u otra comunicación enviada por cualesquiera de las Partes a la otra bajo este Acuerdo se hará por escrito o por medio de telegrama o cable, y será considerada como debidamente entregada o enviada cuando sea recibida por las Partes en las siguientes direcciones:

**Al GOCR:**

**Ministerio de la Presidencia**

**Dirección Postal:**

**Apartado 520  
2010 Zapote, Costa Rica**

**Dirección Cablegráfica Alterna:**

**Telex 2106 PRESIDE**

**SECTION 6.3. Other Forms of Payment**

Payments with funds provided for the assistance may also be made through such other legally possible means as may be agreed to in writing.

**SECTION 6.4. Rate of Exchange**

Except as specifically established in Section 6.2. of this Agreement, and in accordance with Article V of the General Agreement, the funds that are assigned to this Project, if required, will be converted into currency of Costa Rica at the rate providing the largest number of units of such currency per U.S. dollar which, at the time the conversion is made, is not unlawful in Costa Rica.

**ARTICLE VII**

**Miscellaneous**

**SECTION 7.1. Communications**

Any notice, request, document, or other communication submitted by either Party to the others under this Agreement will be in writing or by telegram or cable, and will be deemed duly given or sent when received by the Party at the following addresses:

**To the GOCR:**

**Ministry of the Presidency**

**Mailing Address:**

**P.O. Box 520  
2010 Zapote, Costa Rica**

**Alternate address for cables:**

**Telex 2106 PRESIDE**

256

A la A.I.D.:

Agencia para el Desarrollo  
Internacional

Dirección Postal:

Apartado 825  
1200 Pavas, San José  
Costa Rica

Dirección Cablegráfica Alternativa:

USAID/AMEMBASSY  
San José, Costa Rica

Todas estas comunicaciones serán en idioma Inglés o Español, a menos que las Partes acuerden de otra forma por escrito. Otras direcciones podrán sustituir a las anteriores después de la debida notificación. El Ministerio de la Presidencia le proporcionará a la Misión de USAID una copia de todas las comunicaciones que envíe a la A.I.D.

#### SECCION 7.2. Representantes

Para todos los fines relacionados con este Acuerdo, el GOOCR estará representado por la persona que ostente el cargo en función o interinamente en la Oficina del Ministro de la Presidencia, y la A.I.D. estará representada por la persona que ostente el cargo en función o interinamente en la Oficina del Director de la Misión de USAID/Costa Rica, quienes a su vez, mediante notificación escrita, podrán designar representantes adicionales para cualquier propósito excepto lo estipulado en la Sección 1.1. referente a la modificación de los elementos de la descripción ampliada detallada que se presenta como Anexo I. Los nombres de los representantes de las Partes, con el registro autenticado de sus firmas, serán enviados por cada una de las Partes a la otra, las cuales podrán aceptar como debidamente autorizado cualquier documento firmado por dichos representantes en la ejecución de este Acuerdo, hasta tanto no se reciba notificación escrita revocando la autoridad a ellos conferida.

To A.I.D.:

Agency for International  
Development

Mailing Address:

P.O. Box 825  
1200 Pavas, San José  
Costa Rica

Alternate address for cables:

USAID/AMEMBASSY  
San José, Costa Rica

All such communications can be either in English or Spanish, unless the Parties otherwise agree in writing. Other addresses may be substituted for the above upon the giving of notice. The Ministry of the Presidency will provide the USAID Mission with a copy of each communication sent to A.I.D.

#### SECTION 7.2. Representatives

For all purposes relevant to this Agreement, the GOOCR will be represented by the individual holding or acting in the Office of the Minister of the Presidency and A.I.D. will be represented by the individual holding or acting in the office of the Mission Director, USAID/Costa Rica, each of whom, by written notice, may designate additional representatives for all purposes other than the power under Section 1.1. to revise elements of the amplified description in Annex I. The names of the representatives of the Parties, with specimen signatures, will be provided to each other, which may accept as duly authorized any instrument signed by such representatives in implementation of this Agreement, until receipt of written notice of revocation of their authority.

256+

**SECCION 7.3. Anexo de Disposiciones Estandarizadas**

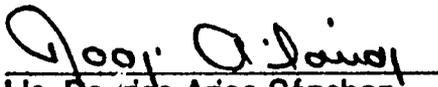
Un "Anexo de las Disposiciones Estandarizadas de la Asistencia para el Proyecto" (Anexo II), que contiene disposiciones estandarizadas que se agregan al Acuerdo en virtud de la parte del Artículo VI del Convenio General que dice que el suministro de asistencia bajo el Convenio General estará sujeto a las leyes y reglamentos pertinentes del Gobierno de los Estados Unidos de América, se adjunta y forma parte de este Acuerdo como si todos los términos especificados en el Anexo II fuesen establecidos aquí.

**SECCION 7.4. Idioma del Acuerdo**

Este Acuerdo se prepara tanto en Inglés como en Español. En caso de ambigüedad o conflicto entre las dos versiones, prevalecerá la versión en Inglés.

EN FE DE LO CUAL, el GOCR y los Estados Unidos de América, cada uno actuando por medio de sus representantes debidamente autorizados, han hecho que este Acuerdo se firme en su nombre y entre en vigencia a partir de la fecha y año que se indican al inicio del mismo.

**REPUBLICA DE COSTA RICA**

  
Lc. Rodrigo Arias Sánchez  
Ministro de la Presidencia

**SECTION 7.3. Standard Provisions Annex**

A "Project Assistance Standard Provisions Annex" (Annex II), that contains standard provisions added to the Agreement pursuant to the part of Article VI of the General Agreement that says that the provision of assistance under the General Agreement will be subject to the applicable laws and regulations of the Government of the United States of America, is attached to and forms part of this Agreement as if all terms stated in Annex II were set forth here.

**SECTION 7.4. Language of Agreement**

This Agreement is prepared in both English and Spanish. In the event of ambiguity or conflict between the two versions, the English language version will control.

IN WITNESS WHEREOF, the GOCR and the United States of America, each acting through its duly authorized representative, have caused this Agreement to be signed in their names and delivered as of the day and year first above written.

**UNITED STATES OF AMERICA**

  
Carl H. Leonard, Director  
United States Agency for  
International Development

## ANEXO I

### DESCRIPCION AMPLIADA DEL PROYECTO

#### I. Antecedentes

El Programa Centroamericano de Becas para la Paz (CAPS) surgió de una recomendación emitida por la Comisión Nacional Bipartita para Centro América (NBCCA) indicando que el número de becas para capacitación de ciudadanos de los países centroamericanos fuese aumentada dramáticamente. Desde el inicio del programa de CAPS de Costa Rica en junio de 1985, más de 1.500 participantes de CAPS han recibido capacitación, ya sea a largo o corto plazo en los Estados Unidos.

El programa CAPS II es un esfuerzo de seguimiento diseñado para ejercer un impacto a largo plazo en dos factores críticos para un mejoramiento perdurable de las condiciones económicas y sociales de la región: (1) un ambiente social, político y económico estable que conduzca al desarrollo económico; y (2) una población instruida y calificada, con líderes capaces de dirigir y ejecutar programas y políticas. Como el proyecto anterior, CAPS II tiene niveles meta mínimos para los participantes. Al menos el 70% debe ser socio-económicamente desfavorecidos, el 40% mujeres y el 20% candidatos para capacitación a largo plazo.

La importancia de los recursos humanos de un país que está industrializándose y desarrollándose, no debe subestimarse; todo desde el vasto campo de la política pública hasta el manejo de empresas privadas y la productividad de sus empleados reside en la habilidad, el conocimiento y los valores de las personas. Por consiguiente, se deben brindar oportunidades a aquellas personas en América Latina y el Caribe que tradicionalmente no han tenido acceso a los adelantos económicos y sociales. El objetivo del fortalecimiento de los procesos democráticos solamente se puede lograr estimulando la participación política y económica de tales grupos.

## ANNEX I

### AMPLIFIED PROJECT DESCRIPTION

#### I. Background

The Central American Peace Scholarship Program (CAPS) emerged from a recommendation of the National Bipartite Commission for Central America (NBCCA) that the number of scholarships for training of the citizens of the Central American countries be dramatically increased. Since the initiation of the CAPS/Costa Rica program in June 1985, over 1,500 CAPS participants have received either long- or short-term training in the U.S.

The CAPS II program is a follow-on effort designed to have a long-term impact on two factors which are critical to lasting improvement in the economic and social conditions in the region: (1) a stable social, political and economic environment that is conducive to economic development; and (2) an educated and skilled population with capable leaders to manage and implement programs and policies. As in the previous project, CAPS II has minimum target levels for participants. At least 70% must be socio-economically disadvantaged, 40% women and 20% long-term trainees.

The importance of human resources to any country whether industrialized or developing, cannot be overstated; everything from the broad directions of public policy to the management of individual firms and productivity of individual laborers rests on the skills, knowledge and values of people. Accordingly, opportunities must be provided to those persons in Latin America and the Caribbean who have traditionally lacked access to economic and social advancements. The objective of strengthening democratic processes can only be achieved by encouraging economic and political participation of such groups.

## II. Meta y Propósito

La meta de este proyecto es promover ampliamente el desarrollo económico y social en América Latina y el Caribe. Dentro de esta meta general a largo plazo, el proyecto tiene una submeta específica que consiste en estimular y fortalecer las economías de libre empresa y el pluralismo democrático en la América Latina y la región del Caribe.

El propósito de este proyecto es el de preparar a un amplio número de líderes y líderes potenciales en América Latina brindándoles capacitación técnica, adiestramiento y educación académica, y una mejor apreciación y entendimiento del funcionamiento de una economía de libre empresa en una sociedad democrática.

### III. Componentes del Proyecto

#### A. Capacitación Técnica a Corto Plazo

Este componente del Proyecto es esencialmente un programa de servicio educativo para adultos. Se seleccionarán y se capacitarán al año entre tres y cinco grupos para programas de corto plazo bajo CAPS II. Las áreas meta para la capacitación a corto plazo se enfocarán hacia organizaciones que promuevan el desarrollo democrático, económico y social a nivel local. Esto proporcionará un contraste balanceado con respecto al enfoque del componente académico a largo plazo. Una lista ilustrativa de grupos de participantes a corto plazo será elegida como sigue.

Las asociaciones de desarrollo comunal locales servirán como primera fuente de participantes del proyecto. La USAID ya ha tenido éxito en la capacitación a corto plazo de asociaciones de desarrollo comunal. El efecto que ha logrado esta capacitación ha sido impresionante. Por lo tanto, este proyecto enviará al año por lo menos a un grupo de este sector.

## II. Goal and Purpose

The goal of this project is to promote broadbased economic and social development in Latin America and the Caribbean. Within this general and long-term goal, the project has a specified sub-goal to encourage and strengthen free enterprise economies and democratic pluralism in the Latin American and Caribbean region.

The purpose of this project is to equip a broad base of leaders and potential leaders in LAC countries with technical skills, training and academic education and an appreciation and understanding of the workings of a free enterprise economy in a democratic society.

### III. Project Components

#### A. Short-Term Technical Training

This component of the Project is essentially an in-service, adult education program. From three to five short-term groups per year will be selected and trained under CAPS II. Target areas for short-term training will focus on economic and social, and democratic development promotion organizations at the local level. This will provide a balanced contrast to the focus of the long-term academic component. An illustrative list of groups from which short term participants will be chosen follows:

Local Community Development Associations will serve as a primary source of project participants. USAID has already had a successful history of short-term training of community development associations. The spread effect of this U.S. training has been impressive. Therefore, this project will send at least one group per year from this sector.

259

Los líderes municipales serán otro grupo meta. Los gobiernos municipales enfrentan una gran variedad de problemas y padecen de escasez de recursos humanos y financieros, como sus contrapartes en otros países. La solución de problemas locales tales como el agua potable y el desecho de basura afectan a una vasta sección de la población y por lo tanto deberán representar la mejor síntesis en una variedad de impactos. Los líderes municipales desempeñarán un papel clave en este proceso. La capacitación en los Estados Unidos podrá brindar a estos líderes diferentes ideas de como solucionar los problemas. Este proyecto enviará al año por lo menos un grupo para un programa de corto plazo.

Los maestros y los directores de escuelas desempeñan un papel de liderazgo en sus comunidades. Costa Rica le dá a su sistema educativo una alta prioridad, lo cual ha producido en el país resultados impresionantes en lo que se refiere a un nivel de educación general y a la más alta tasa de alfabetismo en América Latina. Como componente de largo alcance para la solución de muchos de los problemas nacionales, el sector educativo es vital para el continuo desarrollo del país, así como para proveer trabajadores semi-capacitados de alto nivel para preparar el programa económico nacional. Este proyecto enviará por lo menos al año a un grupo de corto plazo de este sector.

La administración de los recursos naturales es el cuarto sector prioritario. La preservación de los recursos naturales es de alta prioridad para el GOCR. Sin embargo, se reconoce que el balance entre las áreas protegidas y las que no lo son es un asunto delicado. La demanda de estos recursos es compleja y la administración encargada de promover su sostenimiento requiere capacitación especializada. Se organizarán grupos para programas de corto plazo entre aquellas personas,

Municipal leaders will be another target group. Municipal governments face a variety of problems and suffer from a lack of human and financial resources, like their counterparts in many countries. Solutions to local problems, such as clean water sources and solid waste disposal, affect a cross section of the population and therefore must represent the best synthesis of a variety of impacts. Municipal leaders will play a key role in this process. U.S.-based training will expose these leaders to different ways of addressing the problems. This project will send at least one short-term group per year in this sector.

Teachers and school administrators, play a leadership role in their communities. Costa Rica places a high priority on its educational system, which has produced impressive results in terms of general level of education in the country and the highest literacy rate in Latin America. As a long-range component to the resolution of many national problems, the education sector is key to the continued development of the country, as well as to the provision of a high level of semi-skilled workers to prepare the nation's economic program. This project will send at least one short-term group per year from this sector.

Natural resource management is a fourth priority sector. Preservation of natural resources is a high priority for GOCR. However, it is acknowledged that the balance between protected and unprotected areas is a delicate one. The demands on these resources are complex and the responsible management to foster their sustainability requires specialized training. Short-term groups will be organized from among those individuals, institutions, or organizations currently dedicated to the management of renewable resources,

Instituciones, u organizaciones que actualmente se dedican a la administración de los recursos renovables, por ejemplo, guardabosques, guías ecoturísticas, y profesores de ciencias de secundaria. Existen oportunidades para que costarricenses que estén entrenados apropiadamente impartan el beneficio de sus conocimientos y capacidades a sus colegas, jugando así un papel multiplicador para efectos de cambio.

Se podrán seleccionar otros grupos de corto plazo entre las propuestas que la Misión pueda recibir de organizaciones intermediarias interesadas.

El componente de corto plazo se llevará a cabo con la colaboración de instituciones intermediarias costarricenses con el fin de asegurar un programa técnico relevante y con un contexto importante para el área meta. El proceso de selección de los participantes reflejará las directrices de CAPS II y la experiencia de la Misión. El criterio más importante en la selección será el liderazgo. Por lo tanto, se efectuará una evaluación del liderazgo desempeñado por el solicitante en la actualidad en su comunidad.

#### **B. Capacitación Técnica a Largo Plazo (Escuela Secundaria)**

En el programa de Secundaria se seleccionarán estudiantes entre aquellos que apliquen formalmente al programa por medio de una recomendación de sus escuelas. La edad oscilará entre los 15 y 18 años, pero independientemente de la edad del participante, todos deben regresar a Costa Rica a finalizar por lo menos un año más de secundaria. El programa de Escuela Secundaria es crítico en cuanto al cumplimiento de las metas de CAPS II. Los años de adolescencia son aquellos en los que muchos ideales y valores se forman. El despliegue de los acontecimientos mundiales afectan sus pensamientos, y

for example, forest rangers, ecotouris guides, and high school science teachers. Opportunities exist for Costa Ricans appropriately trained, to impart the benefit of their knowledge and skills to colleagues thereby playing an important multiplier role in effecting change.

Other short-term groups may be selected from among proposals that the Mission from time to time may receive from interested intermediary organizations.

The short-term component will be implemented with the collaboration of Costa Rican intermediary institutions to help assure a relevant program technically and an important context for the target area. The participant selection process will reflect CAPS II guidelines and the Mission experience. "Leadership" will be the most important single selection criterion. Therefore, an evaluation will be made of the actual leadership role applicants have had in their community.

#### **B. Long-Term Technical Training (High School)**

The High School program will select students from among those who apply formally to the program through the recommendation of their schools. The age range will be from 15-18, but regardless of the age of the participant, all must return to Costa Rica to finish at least one more year in high school. The High School program is critical to meeting the goals of CAPS II. The teenage years are when many ideals and values are formed. The unfolding of events in the world is input to their thinking, and the interpretation of those events of major importance as they develop their own political, economic, and social

261

la interpretación de esos importantes acontecimientos influyen en el desarrollo de su filosofía política, económica y social. Es este el momento ideal para brindar a jóvenes brillantes la oportunidad de tener una experiencia de nueve meses en los Estados Unidos. Los participantes vivirán con familias, trabajarán en proyectos de tipo 4-H en el verano, y asistirán a una escuela secundaria de su localidad con su "hermano(a)" norteamericano(a) antes de regresar a Costa Rica.

### C. Capacitación Académica a Largo Plazo

Este componente del Proyecto se concentrará en dos tipos de líderes. El programa de posgrado buscará jóvenes que hayan tenido experiencia laboral importante y puedan beneficiarse de realizar estudios a nivel de Maestría. El programa de pregrado buscará líderes potenciales basándose en la participación que estos hayan tenido en las actividades e iniciativas de sus escuelas y organizaciones comunales.

El programa de largo plazo comprende un curso intensivo de inglés seguido de dos años de estudios académicos. Para muchas carreras profesionales en Costa Rica el grado de Bachiller en Artes y Letras o en Ciencias ha sido suplantado por una Maestría como credencial académica mínima requerida. Por consiguiente, CAPS II dará prioridad a los candidatos de programas de posgrado. Aproximadamente, 3/4 de los participantes del programa de largo plazo estudiarán a nivel de posgrado y 1/4 a nivel de pregrado.

Se utilizará la lista de áreas prioritarias del Consejo Nacional de Investigaciones Científicas y Tecnológicas (CONICIT) como guía parcial para las necesidades nacionales proyectadas. Esta lista incluye áreas como agricultura y recursos naturales,

philosophies. This is an ideal time to provide bright youngsters with a 9-month experience in the U.S. Participants live with families, work on 4-H type projects during the summer, and attend a local high school with their North American "brother" or "sister" before returning to Costa Rica.

### C. Long-Term Academic Training

This component of the Project will concentrate on two types of leaders. The graduate program will seek young persons who have had important work experience and can benefit from Masters-level studies. The undergraduate program will seek potential leaders based on their participation in school and community organizations, activities, and initiatives.

The long-term program includes an intensive course of English language skills, followed by two years of academic studies. For many professional fields in Costa Rica the BA/BS degree has been supplanted by the MA/MS as the minimum required academic credential. Accordingly, CAPS II will give priority to applicants for graduate programs. Approximately 3/4 of the long-term participants will study at the graduate level and 1/4 will be undergraduates.

As a partial guide to projected national needs, the list of priority areas of study of the National Council on Scientific and Technological Research (CONICIT) will be used. The list includes important areas such as agriculture and natural resources, agro-industry,

agroindustria, computación y alta tecnología, sector privado (negocios e industrias) y educación. Sin embargo áreas no incluidas en ciencias sociales y humanidades también serán consideradas.

#### IV. SUPERVISION

La ejecución de este Proyecto será llevada a cabo bajo la supervisión de la A.I.D. por medio de la División de Capacitación de USAID/Costa Rica. La A.I.D. y el GOOCR se mantendrán en contacto para coordinar en lo que sea necesario para la adecuada ejecución del Proyecto.

#### V. ADMINISTRACION DEL PROYECTO

Esta sección describe cómo el Proyecto será ejecutado, incluyendo los procedimientos de los convenios específicos individuales para capacitación y estudios.

Este Acuerdo de Asistencia destina la suma de \$15 millones para el proyecto, sujetas a la disponibilidad de fondos.

De conformidad con el procedimiento establecido en esta Sección, la A.I.D. podrá suscribir subacuerdos específicos para efectuar desembolsos y asimismo llevar un control del uso de los fondos asignados al proyecto.

Para asegurar que el GOOCR tendrá plena participación en la determinación de actividades que van a financiarse con fondos del Proyecto, se incluye en Sección III.A. de este Anexo I una lista ilustrativa de los grupos de corto plazo que serán financiados con fondos del Proyecto. La lista será revisada y aprobada anualmente por USAID y el Ministerio de la Presidencia para asegurar que las actividades propuestas sean relevantes. Cualquier cambio

Computer Science and High Technology, private sector (business and industry) and education. However, areas not included, the social sciences and humanities, will also be considered.

#### IV. SUPERVISION

The implementation of this Project will be carried out under the overall supervision of USAID/Costa Rica's Training Division. A.I.D. and the GOOCR will coordinate as required for the satisfactory implementation of the Project.

#### V. PROJECT MANAGEMENT

This section describes how the Project will be implemented, including the procedures for entering into the individual sub-agreements for training and studies.

This Assistance Agreement designates the amount of \$15 million for the project, subject to the availability of funds.

Pursuant to the procedures described in this Section V., A.I.D. may enter into specific sub-agreements, to make disbursements and to otherwise control and monitor the use of project funds.

To ensure that the GOOCR will have full participation in determining the activities to be funded by the Project, included in Section III.A. of this Annex I is an illustrative list of short-term training groups to be funded by the Project. Annually, the list will be reviewed and approved by USAID and the Ministry of the Presidency to ensure that the proposed activities are still relevant. Any changes as determined by the review process will be submitted to the GOOCR representative by Project

según se determine en el proceso de revisión será sometido al representante del GOOCR por medio de una Carta de Cumplimiento (PIL) para su aprobación. Además, se someterán grupos adicionales de corto plazo al representante(s) del GOOCR por medio de un PIL para su aprobación. El GOOCR deberá indicar su aprobación, sin excepción, dentro de los 10 días hábiles después de recibir la notificación escrita de la A.I.D. La Misión recibirá y mantendrá copias de las notificaciones, estampadas por el GOOCR con la fecha de recibo, con el fin de tener del GOOCR un recibo oficial del documento.

La A.I.D. motu proprio ejecutará todos los subacuerdos, es decir, PIO/Ts y contratos para asistencia técnica y PIO/Ps para fondos de capacitación. Se enviará copias de cada PIO/T y PIO/P finalizado al GOOCR.

## VI. PLAN FINANCIERO

El siguiente cuadro muestra un plan financiero para el Proyecto. A.I.D. puede efectuar cambios sin necesidad de hacer una enmienda formal al Acuerdo, si tales cambios no causan que el monto asignado por la A.I.D. para la asistencia exceda la cantidad especificada en el Acuerdo. Las obligaciones futuras de la A.I.D. están sujetas a la disponibilidad de fondos y al acuerdo mutuo de las Partes al respecto.

Las actividades bajo el Proyecto, tales como contratos, órdenes de compra, adquisición de artículos, capacitación, etc., serán manejadas por la A.I.D. por medio de pagos directos.

El presupuesto total en dólares propuesto es de \$15.0 millones de los recursos en dólares de USAID. De este total, aproximadamente \$13,300,000 está presupuestado para los gastos en divisas y aproximadamente \$1,700,000 para gastos en moneda local.

Implementation Letter (PIL) for approval. Furthermore, any additional short-term groups will be submitted to the GOOCR's representative(s) by PIL for approval. The GOOCR shall indicate its approval by not taking exception within ten (10) working days to A.I.D. written notice of the proposed short-term group. The Mission will receive and maintain copies of the notices, date-stamped by the GOOCR, in order to document official receipt by the GOOCR.

A.I.D. motu proprio (on its own initiative) will execute all sub-agreements, that is, PIO/Ts and contracts for technical assistance and PIO/Ps for funding training. A copy of each executed PIO/T and PIO/P will be sent to the GOOCR.

## VI. FINANCIAL PLAN

The following table presents a financial plan for the Project. Changes to the plan may be made by A.I.D. without formal amendment to the Agreement if such changes do not cause A.I.D.'s contribution for the assistance to exceed the amount specified in the text of the Agreement. Future A.I.D. obligations are subject to the availability of funds and mutual agreement of the Parties to proceed.

The activities under the Project, i.e. contracting, purchase orders, commodity procurement, training, etc., will be A.I.D.-managed through direct payment.

The total proposed life of project dollar budget is for \$15.0 million in USAID dollar resources. Of this total, approximately \$13,300,000 is budgeted for foreign exchange costs and approximately \$1,700,000 for local currency costs.

2644

Plan Financiero del Proyecto

(\$000)

<b>Elemento del Proyecto</b>	<b>A.I.D. Obligaciones Acumuladas al 5/4/90</b>	<b>Obligaciones de la A.I.D. Anticipadas para Años Futuros</b>	<b>TOTAL</b>
<hr/>			
1. Capacitación Técnica a Corto Plazo	\$360	\$2,967	3,327
2. Capacitación Técnica a Largo Plazo	800	1,861	2,661
3. Capacitación Técnica a Largo Plazo	800	8,002	8,802
4. Auditorías	40	170	210
<b>TOTAL</b>	<b>\$2,000</b>	<b>\$13,000</b>	<b>\$15,000</b>
<hr/>			

Project Financial Plan

(\$000)

<b>Project Element</b>	<b>A.I.D. Cumulative Obligations as of 5/4/90</b>	<b>Future Years Anticipated A.I.D. Obligations</b>	<b>TOTAL</b>
1. Short-Term Technical Training	\$360	\$2,967	3,327
2. Long Term Technical Training	800	1,861	2,661
3. Long-Term Academic training	800	8,002	8,802
4. Audits	40	170	210
<b>TOTAL</b>	<b>\$2,000</b>	<b>\$13,000</b>	<b>\$15,000</b>

2614

**CAPS II PROJECT DISBURSEMENT BUDGET BY FISCAL YEAR**

<b>COMPONENT</b>	<b>FY 91</b>	<b>FY 92</b>	<b>FY 93</b>	<b>FY 94</b>	<b>FY 95</b>	<b>FY 96</b>	<b>FY 97</b>	<b>FY 98</b>	<b>TOTAL</b>
<b>SHORT-TERM TECHNICAL</b>	<b>921,655</b>	<b>921,655</b>	<b>372,752</b>	<b>555,393</b>	<b>555,393</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,326,848</b>
<b>LONG-TERM TECHNICAL (HIGH SCHOOL)</b>	<b>235,108</b>	<b>696,358</b>	<b>633,151</b>	<b>518,605</b>	<b>376,289</b>	<b>201,086</b>	<b>-</b>	<b>-</b>	<b>2,660,597</b>
<b>LONG-TERM ACADEMIC</b>	<b>169,076</b>	<b>824,439</b>	<b>1,439,299</b>	<b>1,878,534</b>	<b>1,744,254</b>	<b>1,471,715</b>	<b>898,996</b>	<b>376,242</b>	<b>8,802,555</b>
<b>AUDITS</b>	<b>40,000</b>	<b>—</b>	<b>42,000</b>	<b>—</b>	<b>42,000</b>	<b>—</b>	<b>42,000</b>	<b>44,000</b>	<b>210,000</b>
<b>PROJECT TOTAL</b>	<b>1,365,839</b>	<b>2,442,452</b>	<b>2,487,202</b>	<b>2,952,532</b>	<b>2,717,936</b>	<b>1,672,801</b>	<b>940,996</b>	<b>420,242</b>	<b>15,000,000</b>

**PRESUPUESTO DE DESEMBOLSOS POR AÑO FISCAL PARA EL PROYECTO DE CAPS II**

<b>COMPONENTE</b>	<b>FY 91</b>	<b>FY 92</b>	<b>FY 93</b>	<b>FY 94</b>	<b>FY 95</b>	<b>FY 96</b>	<b>FY 97</b>	<b>FY 98</b>	<b>TOTAL</b>
<b><u>TECNICA A CORTO PLAZO</u></b>	<b>921,655</b>	<b>921,655</b>	<b>372,752</b>	<b>555,393</b>	<b>555,393</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,326,848</b>
<b><u>TECNICA A LARGO PLAZO (COLEGIO)</u></b>	<b>235,108</b>	<b>696,358</b>	<b>633,151</b>	<b>518,605</b>	<b>376,289</b>	<b>201,086</b>	<b>-</b>	<b>-</b>	<b>2,660,597</b>
<b><u>ACADEMICA A LARGO PLAZO</u></b>	<b>169,076</b>	<b>824,439</b>	<b>1,439,299</b>	<b>1,878,534</b>	<b>1,744,254</b>	<b>1,471,715</b>	<b>898,996</b>	<b>376,242</b>	<b>8,802,555</b>
<b><u>AUDITORIAS</u></b>	<b>40,000</b>	<b>—</b>	<b>42,000</b>	<b>—</b>	<b>42,000</b>	<b>—</b>	<b>42,000</b>	<b>44,000</b>	<b>210,000</b>
<b>TOTAL DEL PROYECTO</b>	<b>1,365,839</b>	<b>2,442,452</b>	<b>2,487,202</b>	<b>2,952,532</b>	<b>2,717,936</b>	<b>1,672,801</b>	<b>940,996</b>	<b>420,242</b>	<b>15,000,000</b>