

PN ABU-437  
93888



**AMEX INTERNATIONAL, INC.**  
1615 L Street, N.W., Suite 340  
Washington, D.C. 20036  
Tel: (202) 429-0222  
Telefax: (202) 429-1867  
Telex: 6491105 AMEX  
Cable: AMEX, WASH D.C.

**USAID/ETHIOPIA**

**GUIDANCE FOR THE TRAINING UNIT  
ON PROCEDURES,  
TRAINING PLANS,  
AND ENGLISH LANGUAGE TRAINING**

**Prepared by:**

**Lorraine M. Denakpo, AMEX International, Inc.  
Ronald Raphael, G/HCD/FSTA  
Rita Wollmering, AFR/SD/HRD**

**as a core-funded activity**

**HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT  
(698-0463)  
AID CONTRACT NO. AOT-0463-C-00-3215-00  
AFR/SD/HRD**

**AMEX INTERNATIONAL, INC.  
Washington, D.C.**

**December 1994**

**TABLE OF CONTENTS**

SUMMARY .....	1
SECTION 1: Guidance on Mission Training Plan .....	3
A. Mission Training Plan (MTP) .....	3
B. Data Collection for Mission Training Plan .....	5
SECTION 2: Guidance on Using Local Resources for English Language Training (ELT) .....	8
A. Summary .....	8
B. Information collected during visits to Local ELT Providers .....	9
1. Addis Ababa University, Institute of Language Studies (ILS) .....	9
2. Sanford English School, Evening Program .....	10
3. Linguaphone .....	11
4. The British Council .....	12
5. USIS: ELT .....	12
C. Option One: Recommendations for the Present .....	13
D. Option Two: For the Near Term .....	14
1. Setting up the program .....	14
2. Task List of Contractor Responsibilities for a SOW .....	15
E. Option Three: Possible Solutions for the Long Term .....	17
SECTION 3: Comments on BESO Training Component .....	19
ANNEX 1 SAMPLE MISSION TRAINING PLAN .....	21
ANNEX 2 ESTABLISHMENT OF A COUNTRY TRAINING STRATEGY (CTS) ..	26
ANNEX 3 SAMPLE INTER-AGENCY REIMBURSEMENT AGREEMENT .....	28
ANNEX 4 SAMPLE PRE-DEPARTURE MATERIALS .....	35
ANNEX 5 SOME GUIDELINES FOR REQUESTING TRAINING SERVICES FROM CONTRACTORS .....	40
ANNEX 6 SELECTED INFORMATION ON COSTS OF U.S. ACADEMIC INSTITUTIONS .....	45
ANNEX 7 MISSION ORDER ON PARTICIPANT TRAINING .....	46

**SUMMARY**

The Human Resources Development Assistance (HRDA) Project offered USAID Missions in sub-Saharan Africa core-funded technical field visit assistance to work with Mission Training Offices. At the request of USAID/Ethiopia, AFR/SD/HRD and G/HCD/FSTA staff spent one week in Addis working with USAID/Ethiopia, Office of Human and Institutional Development (HID), Training Unit (TU).

Through discussions with key Mission staff, the following activities were addressed by the TDY team of Rita Wollmering, AFR/SD/HRD; Ronald Raphael, G/HCD/FSTA, who spent an additional ten days on this assignment; and Lorraine Denakpo, AMEX International :

Made recommendations on how training components of upcoming projects could be planned to ensure maximum effectiveness. Specific recommendations were made for the BESO Project and for the planned agricultural sector project.

Provided technical advice to Training Unit staff to: define responsibilities, understand workload, clarify processes involved in organizing training, develop strategies for the Training Unit to support and collaborate with staff from other project offices.

Trained Training Unit staff on program and project development steps and provided guidance on complying with Handbook 10 to complete PIC/Ps, draft cables for USAID/Washington, and develop strategies to work more effectively with Partners in International Education and Training (PIET).

Conducted a preliminary assessment of the capabilities of local English language training providers and provided guidelines for securing ELT training in short and long term.

Provided rationale and guidance for developing a Mission Training Plan and provided some draft language about training and training management responsibilities to be included in project paper and requests for proposals for institutional contractors with the Training Unit and project offices.

In collaboration with the Training Unit staff, re-wrote the Mission Training Order and made a comprehensive review of MTO in order to clarify each and every step in the training process.

Led a discussion of draft Handbook 10 policy changes with senior mission staff.

The team also provided preliminary assistance on:

pre-departure activities that should be completed and suggested resources to assist with the orientation process.

the development of a training information brochure and what information should be included in the brochure.

scenarios for selecting participants for external and internal training.

The body of this report is a series of brief reports and sample documents to provide additional guidance and resources to the Training Unit in carrying out the team's recommendations and suggestions. The sample documents are provided as Annexes to the main report and are meant to provide guidance and general outlines for the development of materials that are adapted to the specific needs of the Mission.

The TDY team would like to take this opportunity to thank USAID/Ethiopia staff for their collaboration; the team was particularly impressed with the dedication and professionalism of Mr. Gedlu Jara and Ms. Hajera Abdullahi and looks forward to future opportunities to work with them.

---

**SECTION 1: Guidance on Mission Training Plan<sup>1</sup>****A. MISSION TRAINING PLAN (MTP)**

It is critical for the Mission Training Unit to be familiar with and understand the Mission's training portfolio, including both Training Unit-managed programs and technical project-managed programs. The Training Unit should understand the total training investment and serve as a resource to project offices and staff on designing, managing, and evaluating training as well as on developing mechanisms for collecting training data to demonstrate impact on Mission Strategic Objectives.

One way to accomplish this is to initiate the development of an annual Mission Training Plan. This plan will promote better understanding of training processes and also serve as an important information resource to all of the Mission staff on the types of training programs and activities planned.

The purpose of an annual Mission Training Plan is to compile a list of the various training interventions planned during the next fiscal year. The plan enables Project Officers to set reasonable targets for new training starts and to set priority areas for training in accordance with their project's stated objectives. The plan also provides the Mission with an overall view of training opportunities available to host country nationals in the next year -- a view which is helpful in enabling Mission staff to respond more knowledgeably to outside requests for training assistance. Finally, the plan enables the Training Unit to predict the level and type of assistance it will be required to provide --- such as advising project staff as they carry out their specific training programs, approving PIO/Ps, and applying for U.S. visas for participants.

The following are steps in the development of a Mission Training Plan:

- The Training Unit (TU) collects information on on-going activities with training components: contractor workplans and training plans for previous and current year, PIRS for previous and current year, PTMS data by project for previous and current year. TU queries Program and PDO office about planned design, evaluation, assessment activities that might have a training component. TU asks about possible timeframes.
- The Training Unit requests information from project officers and project managers on planned activities for FY 95 by sending a memo explaining purpose and deadline for

---

<sup>1</sup> Also refer to Annex 1, Sample Mission Training Plan, and Annex 2, Establishment of a Country Training Strategy.

reporting as well as a simple one page form for them to complete and return. A sample form for this purpose is provided below.

- From the information acquired in the steps above, the TU drafts a simple document (see Annex 1 for a sample Mission Training Plan) describing current training plans, with attached project by project reports as well as a summary report for the whole mission.
- If the Training Unit needs to fill in gaps, additional contacts with project staff will provide the missing information.
- The TU incorporates all available information in the document. Other information to be included are statements about mission-wide targets -- for example for reaching women or for using Historically Black Colleges and Universities -- and other mission-wide issues considered important in the implementation of training/hrd activities during the next year.
- The draft mission plan is circulated to all offices for corrections, additions, and/or revisions.
- The TU finalizes and issues the plan. The MTP can be distributed throughout USAID, to the US Embassy, and to key partners from the Transitional Government of Ethiopia (TGOE).

The plan may be used as the basis for a short descriptive 3-4 page brochure or handout on USAID-financed training opportunities that can be distributed or made available to a general audience of interested Ethiopians and used to respond to specific requests for training. It could specify target institutions, selection mechanisms (such as selection is done through the dept of x, ministry of x) and provide the name of a contact person in the Mission's Training Unit who can be reached for additional information.

The major purpose of yearly MTPs is to enable the Training Unit to better plan its activities in support of project needs. Centrally-funded or regional training interventions can also be more targeted, directly supportive of, and complementary to other project-based training. The Mission should also receive fewer ad-hoc requests for training assistance while also developing the capacity of the Training Unit to respond directly to requests -- passing on only relevant requests to the appropriate project office for more detailed consideration and clearance based on specific project parameters.

At the end of each fiscal year, the process begins again -- with project staff submitting their training plan information to the Training Unit by September 30 (end of fiscal year). The TU is charged with submitting and issuing the MTP no later than the end of October.

**B. DATA COLLECTION FOR MISSION TRAINING PLAN**

A sample form for the collection of basic information on annual training planned by various technical offices is provided. The form requests information about location of planned training (U.S., third-country, in-country), the training types (academic degree vs technical training), the numbers of trainees (or in the case of in-country programs the number of training programs), the specific academic or technical fields in which training is planned, and the estimated costs of the various types of training planned. The table also asks for information on the number of men and women to be trained as well as whether the trainees will come from the public or private sectors. The Training Unit can use all of the information provided to better support the informational and processing needs of technical offices. Since the Training Unit at USAID/Ethiopia has been designed to support technical office needs and is not currently managing a separate training portfolio, getting and using the data requested in this form is crucial. To further illustrate this, the list below provides some examples of what actions and resources the TU could provide technical project offices based on the information provided in the short questionnaire.

Information on number and type of U.S. and third-country training starts:

- The TU can work with project offices to develop a calendar for recruitment, selection and processing actions, including scheduling English language testing and in-country ELT.
- The TU can advise project offices on the documentation required for admission at U.S. universities, on the length of time required to complete specific programs, and on academic strengthening that may be required to ensure admission of Ethiopians in certain fields.
- The TU can advise project offices on the types of admissions tests such as the GRE or GMAT required for specific academic fields and provide information and application forms for registering candidates for the tests required.
- The TU can estimate the number of IAP-66As required and ensure that adequate forms are available. Since these forms are controlled and must be ordered from USAID/Washington, it is important that an adequate supply be maintained, especially during busy summer travel months.

Information on academic or technical fields in which training will be offered:

- The TU, which receives hundreds of brochures about U.S. training programs, can use the fields listed to determine which brochures should be passed onto technical offices and, more proactively, bring specific courses to the attention of technical offices..

- The TU can investigate possible institutions, including identifying HBCUs, with known capabilities in specific fields and provide project offices with information on institutions used in the past.
- The TU can suggest recruitment strategies to encourage the application of female candidates.
- The TU can identify Ethiopian returned participants who have received training in the same or related fields. For example, project offices may not be aware that individuals from a particular institution have already received the training planned. Returnees can also be identified to assist in the pre-departure orientation of newly selected participants.

Information on costs estimates:

- The TU can advise Project Officers whether the amount budgeted is sufficient for the type of training envisioned and/or suggest institutions where training can be provided within the budget limits.

Information on in-country programs planned:

- The TU can identify local institutions or consultants with resources or skills to help in the design or implementation of in-country programs.
- The TU can advise Project offices on Mission policy regarding the payment of per diem for in-country training.

Information on participants (male/female and private sector/public sector):

- The TU can suggest recruitment strategies to project offices to increase the participation of women or private sector individuals. It can advise on processing issues unique to one sector, for example organizing in-country ELT during the day for private sector employees is often impossible. Also private sector individuals may be expected to fund their own transportation costs.

PLANNED STARTS FOR FY 1995

PROJECT NUMBER: \_\_\_\_\_ PACD: \_\_\_\_\_

PERSON RESPONSIBLE FOR TRAINING COMPONENT

TYPE OF TRAINING	NO. OF SLOTS	MAJOR FIELDS OF STUDY	AMOUNT BUDGETED (\$000)
U.S. Academic	MASTERS                  PHD	1. 2. 3. 4. 5.	\$
Short-term Technical U.S.		1. 2. 3. 4. 5.	\$
Short-term Third Country		1. 2. 3. 4. 5.	\$
In-country Training (organized workshops of at least 3 days)	NO. OF WORKSHOPS  TOTAL PARTICIPANTS	1. 2. 3. 4. 5.	
TOTAL PARTICIPANTS: _____		TOTAL FUNDING: _____	

TARGET BENEFICIARIES: PERCENT WOMEN: \_\_\_\_\_ PERCENT MEN: \_\_\_\_\_  
 PERCENT PUBLIC SECTOR: \_\_\_\_\_ PERCENT PRIVATE: \_\_\_\_\_

---

**SECTION 2:            Guidance on Using Local Resources for English Language Training (ELT)****A.        SUMMARY**

The TDY team visited four English language providers as well as USIS<sup>2</sup> in order to assess the possibility of contracting locally for English language training. While the visits made do not constitute a full assessment of the institutions visited, the team was able to propose a mechanism by which short ELT programs might be provided for those participants scheduled to undertake short-term programs.

Arranging for intensive<sup>3</sup> language courses locally for academic participants is more problematic. It might be possible through an arrangement with the Addis Ababa University with initial staffing by Peace Corps Volunteers or by an English Teaching Fellow through USIS. Whether the demand for intensive courses locally would be enough to justify the cost of setting up and running an intensive program requires more analysis. Unless bilateral or regional projects require training relatively large numbers of Ethiopians in academic programs, the Mission should plan to send most of its limited number of academic trainees to the U.S. for approximately three months of ELT, based on individual language proficiency.

<sup>2</sup> USIS, for United States Information Service, is used for the overseas offices of the Washington-based United States Information Agency (USIA).

<sup>3</sup> For the purposes of this report, an "intensive" language program is one that provides at least 20 hours instruction per week per student. Intensive programs offer the surest way to increase overall language proficiency over a relatively short period of time. A "semi-intensive" program is one offering between 11 and 19 hours of instruction per week. Semi-intensive programs often offer the flexibility required to meet the time constraints of working adults, especially when the employer is willing to allow the candidate to attend several hours of class during normal working hours. A "non-intensive" program, usually offered after working hours, would provide from two to 10 hours of instruction per week per student. These programs should be considered for candidates for short-term technical courses when overall language proficiency is good but needs strengthening in areas such as listening comprehension and speaking, to enhance technical or business vocabulary, or for an increased understanding of American culture and institutions.

---

**B. INFORMATION COLLECTED DURING VISITS TO LOCAL ELT PROVIDERS**

## 1. Addis Ababa University, Institute of Language Studies (ILS)

## a. General Characteristics

The TDY team, accompanied by Mr. Jaru, met with Dr. Dejene Leta, Director of the ILS and Mr. Worede Yisehak, Head, Department of Foreign Languages and Literature, a department of the ILS. The Institute of Language Studies provides foreign language training and refresher programs for the University's non-English majors and provides BA, MS, and PhD programs in English with teaching and non-teaching specializations as well as academic programs in linguistics. The Head of ILS and the Head of the English Department are knowledgeable about teaching English for both academic purposes and for special purposes. They have access to staff, facilities, a language lab, a library and other resources. They have had some experience providing English language training for local institutions to strengthening employee English skills.

## b. Potential for Providing ELT Services in the Near-Term

The ILS could respond to requests for short-term specific needs for ELT -- either at the university or at another site; they might be able to provide contracted programs during the day at another location; and they might be able to provide a limited non-intensive program. In either case, the ILS would need to acquire materials and supplies to provide the type of specialized training required<sup>4</sup>.

The ILS could arrange a non-intensive, evening program during summer vacations when staff and facilities are free. While daytime programs might be possible and access to audio-visual resources available, other materials are severely limited and the ILS would need major financial support to provide for the program desired.

## c. Potential for Providing ELT Services on an Institutional Basis

The ILS would need high-level university administrative approval to enter into a major long-term contractual relationship; for example, a support activity whereby a donor might provide support for the establishment of a specialized language teaching center in return for language training services.

---

<sup>4</sup> For example, courses for candidates for short-term programs in the U.S. may need practice with American spoken English which could be provided by using specialized listening comprehension materials.

For non-intensive programs, a continuing growing program of several classes and levels is probably only possible through the subsidized, institution-creating scenario described above.

#### d. Strengths

The ILS has an established relationship with both the British Council, from which it receives scholarships, materials, and books, and with the University of Lancaster in Britain, from which it receives 10,000 British pounds a year for publications and other library materials. The ILS has on several occasions developed special ELT courses for local organizations such as Action AID, the Ethiopian Air Force and Ethiopian Airlines. The ILS's strengths in ELT, especially as compared to the other institutions visited, are a solid understanding of the theoretical and practical aspects of running ELT programs. The ILS might be best put to use on a consultant basis to develop a program elsewhere; it could also be host to a Peace Corps Volunteer or English Teaching Fellow (USIS) who could provide state-of-the-art teaching support.

#### e. Weaknesses

In setting up an arrangement to contract with the ILS for ELT services, dealing with University administration might be problematic since there may not be assurances of high level support for the activity in the bureaucracy of the large and resource-deprived institution. Nevertheless, such support might be cultivated by USIS or Peace Corps by providing the university and the ILS with staff and/or material resources in selected academic fields, including English language instruction.

Competing demands on administration and teaching staff may make it difficult for the ILS, as currently structured, to deliver more than a very modest program.

### 2. Sanford English School, Evening Program, Director: Ms. Patsy Sargent

#### a. General Characteristics

Ms. Sargent, an experienced English language teacher from Britain with a MA in TESOL, provides ELT at the facilities of the Sanford English School, a K-12 day school. The ELT program is a non-intensive evening program for adults with class size from 25 to 30 students. Classes meet 3 hours a week (in two sessions) in courses set up in 30-hour modules. The teaching staff is mostly expatriate with certificates or degrees in TESOL; there is also currently one Ethiopian with an MA on the staff. Enrollment varies between 150-250 students per 10-week session, depending mainly on the availability of trained staff and on the space available at the school. Demand for courses consistently exceeds enrollment capacity.

---

b. Potential for Providing ELT Services in the Near-Term

The potential for having Ms. Sargent set up additional non-intensive courses for USAID participants is limited. Evening or Saturday classes may be possible depending on space, but a late afternoon would be the most likely. Currently the existing program severely limits Ms. Sargent's ability to provide other evening courses. In addition, her expatriate staff doesn't need additional revenue enough to accept to teach during inconvenient times, such as late evening or on weekends. She might be available as a PSC to drop current activities and organize something using Ethiopian staff at another location. She certainly has the skills required for setting up an autonomous program.

c. Potential for Providing ELT Services on an Institutional Basis

Ms. Sargent is not a permanent resident of Ethiopia; she anticipates being in Addis for about two more years, so having her provide services on a long-term basis is not feasible. She might be considered, however, to set up a program and train a qualified Ethiopian to take over when she leaves.

3. Linguaphone

a. General Characteristics

The TDY team met with Mr. Solomon Sahle, an instructor at Linguaphone; we did not meet with the Director. This commercial program downtown currently provides non-intensive English courses for the general public. The materials used are based entirely on the standard worldwide Linguaphone program. The school has two classrooms in deteriorating condition, providing only rudimentary classroom facilities. Each class is held for the three hours a week with the center open Monday through Saturday from 9 am to 7:30 pm. We did not meet Director. The teaching staff is Ethiopian, most having BA degrees from the University's ILS. There are 6 full-time English staff who provide the courses using the Linguaphone books, materials, and cassettes. They have limited experience developing special courses for particular needs. Currently 14 US Embassy staff are enrolled.

b. Weaknesses

Linguaphone suffers from a shortage of space, although the current program may move to another location next year. It would not be able to respond to requests for special programs at this time.

In addition, Linguaphone does not have the professional level of staff with overseas experience required for USAID participant needs. The program's course might be useful for USAID staff, for example for in-house language training, but the Linguaphone courses are not particularly relevant for professional staff with higher levels of English proficiency and specialized needs.

#### 4. The British Council (BC)

British Council has an extensive library and multiple resources related to English language teaching. Mr. Tsega Mintesnot, Head of Education, explained to the team that the BC has been involved in testing English proficiency for Ethiopian candidates for Commonwealth training and has assisted other institutes (such as Linguaphone) and the university by providing instructional materials and other support such as guest lecturers. The Head of Education has set up and managed short targeted training programs in specialized areas such as English for Diplomats. The British Council in Addis does not, however, have an on-going ELT program. Among the BC's resources is a workshop room and audio-visual materials that could be rented for training purposes (300 birr/day including refreshments). The Head of Education is able to design and implement special programs, using consultants and instructors recruited from Great Britain. He did not seem to think that local expertise could provide the type of intensive program that might be required. He would be willing to work on a program to train local staff to run a program.

#### 5. USIS: ELT

The United States Information Agency (USIA) has provided English language instruction at many of its Centers worldwide and has experience managing AID-funded programs. The team met with Arlene Jacquette, the Public Affairs Officer and Joseph Adam Erel, Cultural Attache who explained that USIS office in Ethiopia has no plans to enter into a direct language training agreement, but that it might be able to provide services (at cost) that could assist in the establishment or management of an ELT program in Ethiopia. Two possible areas of support are:

- American Specialist program: This program provides American academics for short-term activities. USIS could recruit an American Specialist to provide training or design support to Ethiopians selected to set up and manage a language program.
- English Teaching Fellows (ETF): USIA's ETF program provides English teaching specialists (usually MAs with several years' experience) for one-year programs. Currently two ETFs are serving at Ethiopian teacher training colleges. USAID might work with USIS to get an ETF assigned to work with a local institution, such as the university, to

set up and run a language program during the first year of operation. Using an ETF as opposed to an institutional contractor, such as someone through the ALIGU contract, would be more cost-effective and have the benefit of setting up a relationship between USIS and the local institution, a benefit for the provision of teaching resources.

### C. OPTION ONE: RECOMMENDATIONS FOR THE PRESENT

The Mission has already assessed deficiencies in English language proficiency among participant candidate pools that in some cases will limit candidates' ability to attend long-term academic training and short-term technical training. The Mission needs to develop a strategy for assessing language skill levels and for providing refresher coursework for candidates so that Ethiopians are not unduly disadvantaged during selection processes. Some steps to be considered are:

- Interview and/or test finalist candidates before final selection. Interviews by an experienced ESL professional with experience determining advanced speaking/listening skills might be an acceptable option to using the ALIGU tests, especially for pre-selection of candidates.
- For immediate needs of short-term programming, reject applicants with less than acceptable scores. With borderline cases, consider using short orientation programs, such as those offered at Meridian International Center for 2-5 days prior to starting technical training. This will provide participants with a "warming up" period where they can become familiar with American English before their technical training begins.
- For long-term academic programs, plan to provide approximately three to four months of U.S.-based ELT before beginning academic work for those participants in the 400-500 TOEFL range. Adequate lead-time should permit participants to take at least one TOEFL in Addis prior to their departure. A second test can be taken at the end of the three month program. Ask programmers to seek academic programs at schools that will provide provisional admission to candidates with weak TOEFL scores.
- When seeking US ELT programs, seek institutes that also offer coursework in computer skills or refresher courses in academic areas. The Economics Institute in Boulder Colorado has an excellent reputation, provides good ELT and allows students to enroll in a variety of computer courses, refresher economics, etc. Some universities will also provide academic credit for coursework taken at the Economics Institute.

- Another school to consider when off-season enrollment is required or for non-academic programs (long-term technical programs or internships) is the American Language Institute (ALIGU) at Georgetown University which allows new students to start every week.

**D. OPTION TWO: FOR THE NEAR TERM**

- For long-term academic programs, continue as with Option One above, and
- Create a local program to prepare for short-term technical programs.

The Training Unit will have to work closely with technical offices to estimate the need and timing for short-term training and potentially for the ELT program. If over 20 short-term programs are planned per year, the Mission should really try to develop a local ELT program so that English ability doesn't become the overriding selection criteria for technical training since that may disfavor certain regional groups, age groups, or women.

We recommend a contract with the British Council to develop a 40- or 50-hour refresher or improvement course and arrangements for them to conduct the course on a demand basis. The course would be intended for groups of 4-10 participants (already selected for their programs) who are within 25 points of the technical cut off range for the ALIGU test as well as for those who are borderline. Planning short-term training across the Mission will be the only way to make this mechanism work (this planning can be started by the issuance of a Mission Training Plan). Given the number of short term programs offered in the US during the summer months, selection of participants for short-term programs should be completed by March for all offices so that the ELT program could be arranged in April and May for participants scheduled for US courses in June. Other ELT courses would be held in June for those going in July and August, etc.

The course length would be 40-50 hours. It could be offered over a four week period in the late afternoon or early evening for participants residing in Addis. For participants from outside Addis, it would be offered in Addis one or two weeks prior to their departure and participants would be given a living allowance while they attend the program. Attendance at all sessions would be required for departure and the instructor's assessment of the participant's skills and abilities would be taken into consideration before final authorization for the overseas training is given.

---

1. Setting up the program

a. **Write a SOW and issue a PIO/T** using fund cites from the projects that may need these services. Budget for initial course development, purchase of required teaching materials and for the delivery of five courses in the next year. More details on this follows.

b. **Request a proposal from the British Council** (you could also try the University and Ms Sargent -- although we are assuming that the BC might use Ms. Sargent as part of their proposal). Considering the BC's infrastructure, resources, and experience setting up short-term ELT programs, the Mission could probably make a case for non-competitive procurement with them.

c. **Negotiate a contract** (assuming you get a decent proposal) and **use the first in a series of purchase orders** to have BC begin development of coursework and purchase of materials -- you might want to get help from USIS on the identification of good American materials for the program or contact Lorraine Denakpo at AMEX who could help identify clearinghouses for US materials. USAID may even have to help the BC by ordering the US materials for the program and have them shipped through the pouch. It is very important to use American texts as much as possible, although the BC certainly has access to excellent British materials.

d. **Issue a second purchase order** to allow BC to bill the Mission as needed for testing candidates and providing courses.

2. Task List of Contractor Responsibilities for a SOW

Tasks:

1. Design a curriculum for a 40 hour course for 10 students

2. Purchase materials and supplies required to implement five 40 hour courses<sup>5</sup>

---

<sup>5</sup> Each 40-hour course could be offered to one to ten students, depending on the number of participants requiring courses at a given time. Efforts should be made to schedule courses and participants' departures so that courses are offered to a minimum of five students. Materials for courses will be of two types: re-usable resource materials and expendable workbooks for each student. Initially, the Mission may want to procure adequate resource materials for the course described as well as expendable materials for at least fifty students.

3. Provide testing and evaluation of candidates for short-term training
4. Deliver five 40-hour courses

Task One:

The contractor will design a 40-hour course that could be offered in 20 2 hour sessions during a one-month period or in a one week program with 8 hours of instruction a day.

The course will be designed at a high-intermediate level for the purpose of improving the listening comprehension and speaking abilities of participants in order to enable them to benefit more fully from short-term technical programs or study tours in the United States or another English speaking location. A suggested breakdown of course elements follows:

15 hours: improving listening comprehension skills, including telephone skills

15 hours: active speaking practice

10 hours: improving reading skills, especially understanding forms, travel and lodging information

The course will use American texts, listening comprehension materials and other American resources to familiarize the trainees as much as possible with American English. Other materials can be designed based on local resources or on resources from appropriate technical fields.

Task Two:

Based on the curriculum needs of the course design, the contractor will identify and acquire textbooks, cassettes, basic resources, and other teaching supplies required to implement five 40 hour courses. It is expected that students will have use of books and cassettes during the program but that the materials will be returned to the Contractor for use during the next session. Workbooks designed to be written in by trainees will become the property of the trainee. The contractor is expected to provide quality, state of the art instructional materials that are appropriate for such short-term programs. An inventory of materials purchased and their disposition must be kept by the contractor; non-expendable materials are subject to being reclaimed by USAID at the end of the five courses.

**Task Three:**

The contractor will provide testing and evaluation services on demand (based on an agreed upon lead time) to determine whether candidates would benefit from the 40-hour course prior to leaving for short-term training. The contractor shall use a short test form, such as the ALIGU Short Form, and short interview for this purpose. The testing process for each individual shall not exceed two hours.

**Task Four:**

The contractor will provide five 40-hour courses on demand (based on a mutually agreed upon lead time). With two weeks notice, the contractor will arrange for the staffing and logistics requirements for the course. Specifically, the contractor will be responsible for ensuring that:

- teachers have minimal qualifications of M.A. in English Language Teaching from Addis Ababa University, preferably from a university in the U.S. or Great Britain and at least three years professional experience in TESOL. Experience living or studying in the U.S. is highly recommended as is an understanding of U.S. culture and educational system.
- at least 20 of the 40 hours must be provided by a native English speaker, preferably an American.
- classroom facilities are comfortable, well-lit and ventilated and allow for a group of up to 10 students to easily break into small groups or pairs for selected exercises.
- teaching methodology should be based on current language teaching practices, be highly interactive, and stress communicative skills.

**E. OPTION THREE: POSSIBLE SOLUTIONS FOR THE LONG TERM**

Should USAID/Ethiopia develop a portfolio with major overseas training components, for example over 10 academic participants and over 40 technical participant per year and should it find over the next year that inadequate English language levels severely hamper the Mission's ability to select participants from a wide range of backgrounds, it may want to create a mechanism or institution whereby a the majority of ELT can take place in Addis. The TDY team would like to point out two such avenues. Both will require major investments in money and management resources. Considerable analysis remains to be done before embarking on either solution proposed.

Solution 1: Develop an institutional arrangement with the University's Institute of Language Studies to set up a year-round full-time ELT program offering intensive, non-intensive and regular evening English classes for adults. Support from other donors as well as from Peace Corps and USIA, along the lines discussed above, should be carefully explored.

Solution 2: Contract with a U.S. institutional contractor to set up and manage a full ELT program. Should the Mission decide, for other reasons, to set up a Project Support Office (PSO) with the services of an outside institutional contractor, this activity could be included in the services provided by the PSO.

Solution 3: If an American with appropriate background and qualifications is available to set up and manage an ELT program to be housed in the USAID offices, such an arrangement could be considered. Depending on the numbers of participants and staff to be trained, the program may require the services of additional teachers and the purchase of considerable materials and audio-visual resources.

All of the above solutions could be at least partially funded with local currency, if available, and could respond to a Mission-wide desire to provide ELT to Mission FSN staff.

**SECTION 3: Comments on BESO Training Component**

The TDY team was asked to review the PAIP/PID for the BESO Program and Project and to provide comments on the training component of the PID.

The PID suggests that the project include the following training types and provides estimated costs:

Long term: 20 MAs @ \$50,000 each = \$1,000,000

Short term: 30 months/year x 6 years @ \$20,000 = \$3,600,000

In-country workshops: 10/year x 6 @\$5,000 = \$300,000

Based on its review of the PID and on brief discussions with staff of the Education Office, the TDY team made the following suggestions:

- Master's degree costs of \$50,000 each are extremely low. A more careful budget should be made including inflation factors, estimates of U.S. tax liabilities, cost of refresher English language courses, and refresher academic courses.
- Is short practical training also to be included at the end of degree training?
- How will BESO training be managed? Given number of overseas and in-country programs, a full-time Training Administrator will be required. The Project is relying on human resource development and institutional change to achieve most of its objectives which will require an experienced Human Resource Development Specialist to work with central, regional and provincial level units on staff patterns, staff training, selection of candidates for training, developing compacts between employees and work units prior to overseas training, etc. The mission might want to consider a combination of an experienced HRD specialist, with a Training Administrator (responsible for delivery of in-country training, and working directly with the Mission Training Unit on ensuring that US training gets accomplished with the greatest potential for impact. Both of these position will need logistics, office and staff support.
- Have special requirements for monitoring, evaluation and impact assessment of training components been spelled out?

The role and responsibilities of the Mission Training Unit vis a vis a contractor, the host government or implementing agency should be spelled out. Agreements with Host government should be clearly stated. If not done in the Project Agreement, they should be done in a Project Implementation Letter and not left to chance. Misinterpretation of these responsibilities will eventually affect the success of the training component. Some important questions are:

Will host government provide air travel for trainees?

Will different policies be put in place for MS candidates and for short-term candidates?

Will government employees continue to receive salaries and benefits while in long-term training?

Will promotions, salary increases be granted in recognition of MS training?

What commitment will MS trainees and short-term trainees make to their employers in return for training?

How will recruitment and selection be done?

What host government office will have major role and responsibilities in this process?

How open and transparent will the selection process be?

Can targets for training women be agreed upon in advance with host government?

Will host government provide training locations, per diem for staff, transportation or other "in-kind" contributions for in-country training?

---

**ANNEX 1 SAMPLE MISSION TRAINING PLAN****ANNUAL MISSION TRAINING PLAN**

*The purpose of this Annual Training Plan is to describe the various training interventions planned during the next calendar year. The Plan enables Project Officers and Managers to set reasonable targets for new training starts and to set priority areas for training in accordance with their project's stated objectives. The Plan also provides the Mission with an overall view of training opportunities available to host country nationals in the next year — a view which is helpful in enabling Mission staff to respond more knowledgeably to outside requests for training assistance. Finally, the Plan enables the Training Unit to predict the level and type of assistance it will be required to provide — such as approving PIO/Ps, applying for U.S. visas for participants, and advising Project staff as they carry out their specific training programs.*

**I. PROJECT DESIGN ACTIVITIES**

*During 199x, USAID/x will be actively engaged in the planning and development of major projects in the fields of xxx and xxx. It is likely that each of these projects will contain both participant and in-country training components as part of the "solution" to the problems encountered in the targeted areas. Project design teams will need to consider the training elements carefully and make provisions for appropriate needs assessments, budgeting of costs, and administrative support early in the design activity.*

*For example, an inadequate understanding of the time required or of the administrative burden of selecting and processing candidates will result in unrealistic budgeting as well as in unrealistic scheduling of major project components.*

*The Training Unit, including the services of the Human Resources Development Advisor (or other such person), is available to work with those responsible for project design in the drafting of scopes of work for needs assessments, estimating budgets for training costs, and other technical matters related to training.*

**II. WOMEN'S PARTICIPATION IN TRAINING ACTIVITIES**

*Project Officers and Managers need to ensure that female participation is actively sought for all training activities, regardless of content area, training duration, and training location. At the very minimum, projects should show evidence of 25% participation in training activities. The X Project, as recently amended, has a target of 40% female participation for external training activities and 50% for in-country training activities. Each project is required to maintain gender-disaggregated data on participants in every training activity.*

### **III. REPORTING ON IN-COUNTRY TRAINING**

*All Projects are required to provide the USAID/X Training Unit with information on in-country training completed. The information is submitted on an annual basis and includes the following:*

- training field*
- type of training (on-the-job training, workshop, conference, etc)*
- dates and length of training program*
- total number of participants*
  - number of men*
  - number of women*
- cost of the training program.*

### **IV. ON-GOING PROJECTS**

#### **A. Project X**

##### *1. Long-term Training*

*a. Project X will continue to monitor the progress of the 7 participants currently enrolled in academic programs in the United States.*

*b. In mid-1993, approximately 6 private sector candidates and 3 public sector candidates (from technical ministries and private sector support institutions) will leave for the U.S. to pursue graduate degrees in business-related fields.*

*c. Approximately 4 women will be selected to complete their undergraduate training in two-year programs in the United States. The women will be selected from recent graduates of commercial and agricultural programs and will be encouraged to study in fields for which no comparable undergraduate training is available locally.*

*d. Approximately 10 (5 public and 5 private sector) individuals will be selected to complete long-term technical training in managerial or technical fields selected to improve the analytic and technical capacity of their institution or business.*

*Project X uses the services of PIET to program long-term participant training in the United States.*

## *2. Short-term Training*

*a. Approximately 40 host country nationals (30 private sector and 10 public sector) will attend short-term training programs in the U.S. or third countries to increase their skills in areas that will promote private sector entry into export markets and improve the quality of local goods and services. Private sector candidates for training are selected by the Project's Private Sector Selection Committee.*

*b. In addition, training will be provided to approximately 5 persons to improve the ability of selected training institutions to serve the needs of the private sector.*

*c. The Project will, in consultation with USAID Officers, also continue to respond on a case-by-case basis to specific training requests from targeted ministries and institutions. Approximately five such programs may be carried out in 199x. One program that is currently being developed will improve the accounting skills of women tax inspectors in the Ministry of Finance. Another program will provide the leaders of selected women's professional and business organizations with learn from the experience of their counterparts in Kenya and Tanzania.*

*U.S.-based training will be programmed with the assistance of PIET and Entrepreneurs International. Third-country training will be managed directly by the Project Office until a contract is entered into with a U.S. institutional contractor to provide third-country programming assistance.*

## *3. In-Country Training*

*a. In collaboration with the Chamber of Commerce, the Project will continue to provide training to small business owners outside City X. The training programs will increase the participants' understanding of accounting, marketing, and financial management as well as provide them with information on commercial and tax legislation affecting their businesses.*

*b. The Project will work with the Chamber of Commerce and other training institutions to develop a series of training programs designed to meet the needs of employees in the formal private sector. Cross-cutting training in skills such as marketing, sales promotion and financial management will be provided to employees of interested firms on a cost-shared basis. In-depth training needs analyses will be performed in specific sectors such as the garment industry.*

*c. The Project will also provide support for selected in-country programs that serve as follow-on components for past training activities or that are a cost-effective alternative to providing third-country or U.S. training. For example, Project X will collaborate with the Export Promotion Agency to implement a workshop on the exportation of flowers and ornamental plants which will include the active participation of former participants. It will also consider requests from key ministries and departments for in-country staff training in areas that will improve the quality of services the government provides the private sector.*

*Most in-country training activities will be contracted for through an agreement with the Chamber of Commerce. Other activities requiring the services of outside consultants will be provided for through the proposed U.S. institutional contract for management support services.*

***B. Private Sector Support Project<sup>6</sup>***

- 1. Group Visits*
- 2. Individual Marketing Visits*
- 3. In-Country Training*

***C. Family Planning Project***

- 1. Short-term Training*
- 2. In-Country Training*

***D. Agricultural Project***

- 1. Long-term Training*
- 2. Short-term Training*
- 3. In-Country Training*

***E. Combatting Diseases Project***

---

<sup>6</sup> In this section, specific details should be provided for each training component of each project.

---

**iii. CENTRALLY-FUNDED TRAINING**

*USAID/X will take advantage of centrally-funded training activities only when such activities fit clearly into the Mission's overall development goals. Centrally-funded training must be approved by the appropriate technical office as well as by the program office. An unfunded PIO/P is required for centrally-funded training and it is the responsibility of the U.S. contractor responsible for the centrally funded project to provide USAID/X with the required project and funding information needed to execute the PIO/P. As is the case for all training opportunities, inadequate lead time (of less than six to eight weeks) will probably lead to the Mission's refusal to approve such training activities.*

---

**ANNEX 2 ESTABLISHMENT OF A COUNTRY TRAINING STRATEGY (CTS)**

*Since the Mission at present does not buy in to either of the two regional umbrella training projects (HRDA and ATLAS), which would serve to fill in any gaps in project training, there is no need during the first year of this Order for the standard Country Training Strategy, a major purpose of which ensure that all Mission training fully supports strategic objectives.*

*The Mission should develop an overall training strategy covering all USAID-funded projects with training components. The CTS helps Mission Training staff initiate training actions and respond to proposals based on stated priorities which have been discussed and accepted by USAID. By doing this, USAID can be "buffered" from pressure to fund "favorite" programs and/or individuals. A known CTS becomes a conventional and legitimate reason to decline many training proposals. It can also be used as a management tool to objectively guide the Mission in ad hoc decisions.*

*The CTS should be based on USAID's concept paper containing its development framework and program strategy. USAID/Ethiopia's strategies are:*

- Increased staple food production*
- Rebuilt and re-oriented rural health care delivery system*
- Improved and expanded primary education*
- Increased access to and participation in the democratic transition in Ethiopia.*

*The following analysis is illustrative of the directions the CTS might take:*

*Increased staple food production: Probable targets for training are the nongovernmental/private sector to increase involvement in agricultural marketing; and, the public sector to liberalize commodity and inputs markets and to build a capacity to imitate important policy reforms.*

*Rebuilt and re-oriented rural health care delivery system: Likely targets for training are the public sector to improve the policy planning and budgeting processes in the health sector; and largely in the non-governmental sector and install measures to curb AIDS transmission, lower population growth rates, and improve service delivery mechanisms especially in rural areas.*

*Improved and expanded primary education: Targets for training may include central policy authorities responsible for planning and finance; regional and sub-regional authorities responsible for the management of the primary education system and*

---

*professionals, who train teachers and administrators or who teach and administer primary schools.*

*Increased access to and participation in the democratic transition in Ethiopia: Opportunities for training are numerous and emerging with experience. They include training in the constitutional process, elections, judicial reform, journalism, policy advocacy and participatory processes. There is potential for strengthening civil society by targeting non-governmental organizations.*

---

**VNEX 3 SAMPLE INTER-AGENCY REIMBURSEMENT AGREEMENT<sup>7</sup>**

*INTER-AGENCY REIMBURSEMENT AGREEMENT*  
 NO.  
*between*  
 THE UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
 COUNTRY X  
*and*  
 THE UNITED STATES INFORMATION SERVICE  
 COUNTRY X

*The following agreement applies to intensive, semi-intensive and non-intensive English language instruction of USAID participant trainees at the USIS English Teaching Program (ETP) and does not provide supplemental funding for previously negotiated instruction.*

**SECTION ONE: INTENSIVE ENGLISH LANGUAGE TRAINING**  
ARTICLE I — LEVEL OF EFFORT

A. *It is estimated that 750 hours of intensive English instruction will be provided under this agreement. This instruction will be provided over three 250-hour periods. Each course will be limited to a maximum of eight participant trainees, of equivalent level, to be nominated at the discretion of USAID. These courses will begin between March 1, 199-X and August 1, 199-X. Students for each 250-hour course will be tested simultaneously to determine their level of English proficiency at least three weeks before entering the program on a schedule determined by the ETP.*

B. *For the purpose of this agreement, English language instructors will work on schedules agreed to between them and the ETP, and they will be paid according to ETP's policies. Students will be assigned to classes based upon the ETP's recommendations as determined by the students' availabilities and capabilities.*

---

<sup>7</sup> This sample agreement could be adapted for use with USIS or with a private entity for provision of ELT services. This is a reimbursable agreement, but the language could be change to read "contract" if needed. The sample describes acquiring ELT services for intensive, non-intensive and evening English classes; any one of those components could be contracted for separately depending on the needs of the participants.

---

ARTICLE II — SCOPE OF WORK

- A. *The ETP will establish a training program and schedule and submit the schedule to USAID for approval. Once the course begins the terms of the schedule are not subject to change without mutual agreement.*
- B. *Adequate teaching materials, including resource materials, classroom copies of suitable texts, and expendable student workbooks will be provided by the ETP. Each student will receive at least one 60 minute cassette for listening comprehension study outside the classroom.*
- C. *The ETP will maintain student progress reports and provide such reports to USAID as specified below:*
1. *A report on test results including an estimate of the training time required prior to commencement of university studies in English, for each student scheduled to begin academic training in the U.S.*
  2. *A progress report covering all participants (indicating the amount of progress made, evaluating students' motivation, and noting problems or recommendations) shall be provided to USAID at the end of each month. The final monthly report for each program will include a comparison of pre- and post-test scores for each participant.*
  3. *Special progress reports as deemed necessary by the ETP.*
  4. *USAID will be given prompt notification if at any time it is felt that any student(s) in the program is (are) incapable or unwilling to make normal progress.*
- D. *The ETP will provide classes as specified below:*
1. *The intensive course will run approximately 23 hours a week for a total of 250 hours, beginning on a schedule to be agreed upon by USIS and USAID. USAID will be charged for tuition and administrative costs for each intensive course of 250 hours.*
  2. *The ETP will register and process all students enrolled in intensive courses for the next appropriate TOEFL session. The fee of \$50.00 per student is based on the actual ETS fee schedule (currently \$45.00) plus a processing fee of \$5.00 per application.*

ARTICLE III — COST OF INTENSIVE PROGRAM

A. The ETP will be reimbursed the following fees in U.S. dollars for services related to intensive programs:

- |    |   |   |    |       |
|----|---|---|----|-------|
| 1. | <i>Tuition cost per 250-hour course (with 1 to 8 students). This cost includes all books and classroom supplies for the students.</i> | = | \$ | _____ |
| 2. | <i>Administrative cost per 250-hour course</i>  | = | \$ | _____ |
| 3. | <i>TOEFL testing (\$50/test) (up to 15 tests with \$200.00 reserved for DHL costs if needed)</i>                                      | = | \$ | _____ |
| 4. | <i>Administrative cost for each additional placement test scheduled (\$55/test)</i>   | = | \$ | _____ |

B. An estimated 250 hours of intensive language instruction, the actual cost of TOEFL registration and processing (not to exceed \$\_\_\_\_\_), and the actual cost of additional placement exams (not to exceed \$\_\_\_\_\_) are foreseen for a total amount of \$\_\_\_\_\_.

**SECTION TWO: SEMI-INTENSIVE PROGRAM**

ARTICLE I — LEVEL OF EFFORT

A. It is estimated that 350 hours of semi-intensive English instruction will be provided under this agreement. This instruction will be given through courses of 50 hours each. These courses will preferably be held in the afternoon or early evening for 4-12 hours a week for up to 350 hours of instruction. Each semi-intensive course will begin on a mutually agreed upon date; the first semi-intensive course is scheduled to begin on or around October 1, 199-X, and the last one will begin no later than August 1, 199-X. Course content for these classes will vary considerably, but may include components to strengthen English skills for academic and non-academic training, opportunities to improve business English skills, and to discuss cross-cultural topics.

B. USAID participants selected for semi-intensive courses will be tested at USIS, using a standard placement test, at least two weeks before the start of classes and will be put in classes according to English ability. Class size will be between 1 and 12 students.

C. The ETP will maintain student progress reports and provide such reports to USAID as specified below:

1. A report on placement test results.
2. A mid-term and final progress report for each student.
3. USAID will be given prompt notification if at any time it is felt that any student(s) is (are) incapable or willing to make normal progress.

ARTICLE II — COST OF SEMI-INTENSIVE PROGRAM

A. The ETP will be reimbursed the following fees in U.S. dollars for services related to semi-intensive programs:

- |   |   |          |
|---|---|----------|
| 1. Tuition cost per 50-hour course<br>(1 to 12 students) This cost includes<br>all books and classroom supplies for students. | = | \$ _____ |
| 2. Administrative cost per 50 hour class  | = | \$ _____ |
| 3. Administrative cost for each additional<br>placement test scheduled (\$55.00)  | = | \$ _____ |

B. An estimated 350 hours (i.e. 7 courses of 50 hours each) of semi-intensive language instruction plus the actual cost of additional placement exams (not to exceed \$ \_\_\_\_\_) are foreseen for a total amount of \$ \_\_\_\_\_.

**SECTION THREE: NON-INTENSIVE ENGLISH LANGUAGE TRAINING<sup>8</sup>****ARTICLE I — LEVEL OF EFFORT**

*The ETP agrees to admit USAID participants into its regular evening English language program. New candidates must take the placement exam following the schedule published for new students. The names of the candidates for the ETP are to be submitted to USIS by the second day of registration announced before each term. Notice of placement exams and registration dates will be given in writing, not less than five working days prior to the beginning of the registration period by memo addressed to the USAID Executive Officer with another copy provided directly to the USAID Training Unit.*

**ARTICLE II — SCOPE OF WORK**

- A. The ETP agrees to report on the attendance of all enrolled personnel at mid-term and on their attendance and progress after each completed term.*
- B. The ETP agrees to register continuing students the first day of registration upon notification from USAID of those candidates' eligibility for re-enrollment.*
- C. The ETP reserves the right to refuse to register any continuing student whose previous work was not deemed satisfactory.*

**ARTICLE III — COST OF NON-INTENSIVE PROGRAM**

- A. USAID agrees to reimburse USIS the tuition and book fees announced for Host Country Nationals for each of its enrolled candidates. Currently the tuition fees are xxx francs per term for classes meeting 4 hours a week and xxx local currency for classes meeting 2 hours a week. The book fee is currently xxx local currency per book, which is usually used over the period of two terms.*
- B. USAID agrees to pay an administrative fee of the equivalent of xxx local currency per term for each student registered.*

---

<sup>8</sup> In this section an agreement is made to enroll USAID-funded participants into the public evening English courses sponsored by USIS. If candidates for training are identified early enough before the start of training, non-intensive evening classes may offer an adequate refresher program for students with borderline scores on proficiency tests. In other cases, USIS may offer special courses such as advanced business English or advanced speaking courses which are appropriate for candidates for academic programs who may have already tested over 500 on the TOEFL.

C. The maximum amount payable under this agreement for non-intensive English training is \$ \_\_\_\_\_.

**SECTION FOUR: REIMBURSEMENT IN U.S. DOLLARS**

ARTICLE I — REIMBURSEMENT PROCEDURES

A. USIS will request reimbursements from USAID for the services described above on a quarterly basis.

B. Reimbursement requests will be submitted to USAID on Standard Form 1080 or 1081 to effect an inter-agency reimbursement in U.S. dollars.

C. Reimbursement requests under this agreement, together with dates and types of services provided with the names of the individuals enrolled in each program, should be submitted to:

USAID  
 Controller's Office  
 P.O. Box XXX  
 City X, Country X

D. Reimbursement will be made no later than one month after proper requests are submitted. All reimbursements must be made by August 20, 199-X.

ARTICLE II — TOTAL AMOUNT OF AGREEMENT

A. The maximum amount payable under this agreement is \$ \_\_\_\_\_ which includes:

- a. Intensive English language instruction and TOEFL Testing \$ \_\_\_\_\_
- b. Semi-Intensive English instruction \$ \_\_\_\_\_
- c. Non-intensive Evening English instruction \$ \_\_\_\_\_

**TOTAL NTE:** \$ \_\_\_\_\_

B. The ETP will keep a close account of all costs incurred and accrued hereunder and will promptly notify the USAID Director whenever, in its opinion, the said maximum will not be sufficient to cover all reimbursable costs anticipated under this agreement.

---

**SECTION FIVE: LIFE OF AGREEMENT**

A. This agreement goes into effect on October 1, 199-X and continues in force until September 30, 199-X.

B. This agreement can be revoked in writing by either party by giving 30 days' notice. The revocation will not effect programs already in progress at the time of revocation nor those scheduled to begin within the 30 day period.

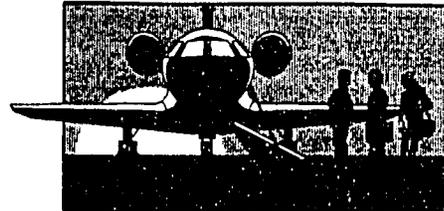
SIGNED on this day \_\_\_\_\_

\_\_\_\_\_  
Public Affairs Officer  
USIS

\_\_\_\_\_  
Administrative Officer  
US Embassy

\_\_\_\_\_  
Director/Representative, USAID

---

**ANNEX 4 SAMPLE PRE-DEPARTURE MATERIALS****PRE-DEPARTURE INFORMATION FOR PROJECT-X FUNDED PARTICIPANTS  
TRAVELLING TO THE UNITED STATES****TRAVEL ITINERARY:****YOUR PROGRAMMER:**

*The person responsible for you and your training program while you are in the United States is*

*Mr/Ms/Mrs \_\_\_\_\_*

*He/She is a staff person of PIET (Partners for International Education and Training) located in the New York office of the African-American Institute (AAI).*

- The address of the African American Institute is:*

**AFRICAN AMERICAN INSTITUTE  
833 UNITED NATIONS PLAZA, NEW YORK, NEW YORK 10017**

- The telephone number is:*

**949-5666 or 1-800-323-1236**

*The second number is "toll-free" and can be used anywhere in the United States except in New York City.*

**MONEY MATTERS**

Before you leave City X, you will receive the following amounts of money as part of your maintenance allowance:

\_\_\_\_\_ in cash

\_\_\_\_\_ in check which you can **either** cash at a local bank and convert into U.S. dollar Travellers Cheques before you depart **or** cash at a bank in the United States.

Remember that these funds are not meant to be used during your travel to the U.S., but are intended to be used during the first 10 to 15 days of your stay in the U.S. You are required to use these funds (and others which your Programmer provides you) for your lodging, meals and miscellaneous personal expenses during your training program.

The maintenance allowance that you will receive is calculated based on your location in the U.S. and the number of days you spend at each location.

The amounts you will receive has been calculated as follows:

New York: \_\_\_\_\_

Washington, DC: \_\_\_\_\_

San Diego: \_\_\_\_\_

Your Programmer will advise you of any changes in the amounts estimated above.

**OTHER EXPENSES**

You will receive \$60.00 for the purchase of books for your training program as well as \$60.00 for shipping the books back to your home country. You will not be required to present a receipt for these expenses.

As you travel from one location to another, always ask for a receipt for transportation you pay for to travel from an airport to a hotel or from a hotel to the airport. You are required to use the least expensive form of transportation available for such travel. This usually means taking an Airport Bus or Limousine.

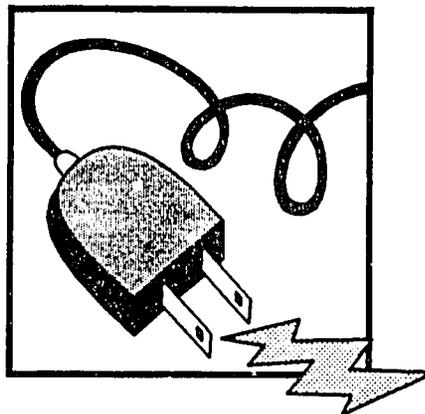
Submit your receipts to your Programmer before you leave the U.S. or to XXX at USAID/X when you return home.

*Travel between the airport and hotel and back is an allowable expense which will usually be reimbursed. If your training program calls for individual visits to businesses or offices and you are required to take public transportation or taxis for such visits, you should also keep your receipts and present them to your Programmer for reimbursement at the end of your program.*

### **QUESTIONS OF SECURITY**

*Never keep money, travellers cheques, travel documents such as passports and airplane tickets in your hotel room unattended. Ask at the hotel reception for a safe deposit box where you can safely store your valuables. Take care **not** to lose the key to your safe deposit box!*

*Don't leave your baggage and belongings unattended in the airport or elsewhere. Use common sense and stay on the alert as you walk about cities, especially in the evening. If your belongings should be stolen or if you are a victim of an attack or criminal incident, report the incident to the police immediately and seek advice from your Programmer by calling the toll-free number.*



### **YOUR HEALTH**

*From the time you leave your home country, during your stay in the U.S. until your return to X, you will be covered by a medical and health insurance coverage called the HAC Insurance Program. This coverage is in effect as long as you are in training or traveling directly to or from your training program. You will **not** be covered should you change your itinerary from the one originally approved. While the HAC Program will cover most medical expenses, you may be required to purchase services or medicines yourself and then submit a claim for reimbursement. Your Programmer will provide you with full details on the HAC Program.*

### **YOUR RESPONSIBILITIES**

*Your primary responsibility is to focus your time and energy on the successful completion of your training program. Your goal is to accomplish the training objectives set out on page 2 of the PIO/P which is provided here as an attachment.*

*If you feel that your original objectives can not be attained, contact your Programmer so that adjustments can be made, if possible. Remember that your Programmer can not make major changes in your training program, including extensions or changes in the major training objective, without the prior approval of USAID/X.*

*You are also responsible for ensuring that all hotel bills, telephone charges, and other bills for services or goods you purchased, including charges for excess baggage, are paid in full before you leave the United States.*

### ***AIRLINE RESERVATIONS***

*You will be provided with a round-trip ticket before you leave for training. All necessary airline reservations have been made and confirmed. You will need to re-confirm your onward flights directly with the airline companies concerned. Once in the U.S. this is very easy and can be done by telephone, usually 24 hours a day. You can obtain the toll-free number of the airline company you will be using by calling Information at tel: 1-800-555-1212.*

### ***EXCESS BAGGAGE***

*You will receive \$60.00 for shipping books back to your home country. This money can be used to pay excess baggage charges at the airport.*

*On international flights leaving the United States, the baggage allowance is 2 pieces of luggage. Each piece can weigh up to approximately 25 kilos. What is most important is the number of pieces and not the weight. If you travel directly from the U.S. to your country without a long stopover in Europe, you can take advantage of the baggage system by piece if you check your luggage to travel directly to your home country.*

*If you are required to stopover in Europe, you may have to collect your luggage in Europe and register them again after the stopover. In that case, your bags will be weighted on a 20 kilo limit imposed and the fines for excess baggage can be quite expensive.*

*In either case, it is your sole responsibility to ensure that you have adequate funds to pay excess baggage fees should you be required to do so.*

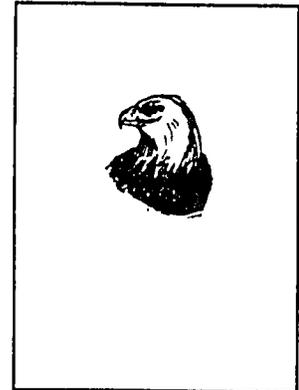
*Upon re-entry into your home country, you may also be required to pay customs fees for any merchandise you purchased in the United States.*

---

**YOUR ARRIVAL IN WASHINGTON, DC, THE FEDERAL CAPITAL****ARRIVAL INFORMATION**

Upon arrival at National Airport in Washington, DC, you will be met by a staff person of the Meridian House International Center (MIC). You should look for someone holding a sign with your name. MIC staff will assist you in finding the appropriate transport to your hotel.

If no one from MIC meets you at the airport, you should follow the signs marked "Ground Transportation" and take either the Washington Flyer bus (about \$15.00) or, if no bus is scheduled, take a taxi (about \$25.00) to your hotel.

**YOUR HOTEL IN WASHINGTON:**

The Windsor Park Hotel  
2116 Kalorama Road  
Washington, DC  
Telephone: 202-483-7700

**ORIENTATION PROGRAM**

In Washington, DC, you will participate in an Orientation Program at the Meridian House International Center (MIC) from

\_\_\_\_\_ to \_\_\_\_\_.

This orientation program will help you become acquainted with American customs and life. You will also learn how to use the public transportation systems and how to make business and social contacts with Americans. During the program, you will also have an opportunity to visit some of Washington's interesting sites.

- You are scheduled to begin your program on \_\_\_\_\_ at 8:30 a.m. You should go directly to MIC at 1630 Crescent Place, in Northwest Washington. It is not far from your hotel and you can ask for directions from the Hotel reception.
- MIC's telephone number is 202-939-5552.

## **ANNEX 5 SOME GUIDELINES FOR REQUESTING TRAINING SERVICES FROM CONTRACTORS**

This document is a partial draft of a short manual the HRDA Project, through AMEX International, will develop to be provided to USAID Missions in Africa after the March 1995 HRDA workshop.)

The excerpts below provide sample language for specifying contractors' responsibilities for tasks related to training and training management. These excerpts can be adapted to suit the specific needs of project designers.

### ***CONTRACTOR'S RESPONSIBILITIES***

*At the end of the Project, USAID anticipates that*

*\* approximately 30% of private firms receiving Project-sponsored training and/or technical assistance will adopt new technologies and/or management practices to improve productivity and quality.*

*\* etc*

*In order to meet these targets, the contractor will be responsible for*

*\* improving the capacity of local business service providers to diagnose and resolve problems facing SMEs*

### ***TRAINING PLAN***

*Annual Training Plan: The contractor shall prepare an Annual Training Plan for in-country, third country and US training. This plan will be a stand-alone document but shall be included as an Annex to the Annual Workplan. It will estimate annual numbers of trainees by type and category of training, training programs and potential training institutions, proposed timing for tracking, an implementation schedule and estimated costs.*

### ***THIRD COUNTRY (OR U.S.) TRAINING***

*OBJECTIVES: Recognizing that not all conceivable training opportunities are available in Country X, the Project provides for limited training opportunities in the U.S. and third countries. The Contractor will take advantage of special courses and unique opportunities for business development, including (1) off-the-shelf courses; (2) customized U.S. or third*

country observation and business development tours for employees and groups with specific themes and objectives; (3) "business development trips" to the U.S. (i.e. support participation of firms in selected international trade fairs, etc.) and (4) internships in U.S. firms.

### **SHORT TERM AND ACADEMIC TRAINING**

*Task: Coordinate the selection, processing and orientation of candidates for overseas training*

*The Project anticipates training 200 short-term (80% private sector, 40% women) and 10 masters-level (100% private sector, 40% women) candidates overseas. The contractor will be responsible for selecting, processing and orienting short-term private sector participants. USAID, through the Mission Training Unit, will be responsible for liaison with HCD/FSTA/PIET for placing candidates in the Entrepreneurs International program, in U.S. academic programs, and in all off-the-shelf courses in the U.S..*

*The contractor's administrative and logistical support for all training overseas will include arranging in-country English language testing and refresher coursework and preparing draft PIO/Ps for review and approval by USAID. The contractor shall also maintain a data bank acceptable to USAID.*

### **OBSERVATION TOURS & BUSINESS DEVELOPMENT TRIPS**

*The contractor will be responsible for organizing programs in the US for observation tours, business development trips, and training for counterpart firm personnel. The contractor should expect to provide escort and translation for observation trips. The project anticipates a total of 30 participants for observation trips or business development trips (80% private sector); participants will be expected to pay their international airfare.*

*Performance standards for task:*

- \* Recruitment and selection conducted for each training category*
- \* Candidates reviewed and approved by the Overseas Training Committee*
- \* Training organized in a timely fashion*
- \* Tracking systems and follow-up procedures in place*
- \* Approximately 200 participants trained outside Country X.*

\* 80% of short-term participants are private sector; 80% of MS participants are private sector; 40% of all participants are women.

### **TRAINING INSTITUTIONS AND CONSULTING FIRMS**

*The contractor will establish a "counterpart" type relationship with a limited number of training and consulting firms during the life of the Project. The contractor will provide training, technical assistance, limited commodities and "tuition and technical assistance support funds" to these firms in order to strengthen market research capacity, transfer business service technology (such as financial management, SME client development), and strengthen the delivery of services to SMEs.*

*The contractor is required to develop draft subcontract agreements for these firms (for RCO approval). The subcontracts will include (a) an assistance strategy detailing the kinds and timing of assistance the contractor believes will be needed to strengthen a training or consulting firm; (b) detailed inputs that the counterpart firm will be required to contribute in order to match contractor inputs in terms of staff, equipment, transportation, logistics, etc. (c) an outline of general operating procedures (e.g. how requests for US assistance are processed/approved and costs attributed against the subcontract "ceiling") and (d) any incentives the contractor may want to include.*

### **TUITION AND TECHNICAL ASSISTANCE SUPPORT**

*Tuition and technical assistance support funds will be made available to intermediaries (training institutions and consulting firms) who may apply to the project for funding support for specific activities. Criteria for the funding support will be developed by the contractor, the Training Advisory Committee will review them, and USAID will approve them.*

*An example of how this might work is that the first time a new course is offered, the Project may underwrite up to 50% of the tuition for SMEs. The second time, the project may underwrite 25% of the tuition for SMEs, but 50% for women-owned SMEs. Similarly, the project may underwrite a percentage of cost for diagnostic activities in areas important to the project (i.e. environmental safety) that are not now considered a priority to the private sector. Where the project underwrites the costs of an activity, this information must be provided in writing to the beneficiary.*

*The contractor shall review and approve requests by intermediaries for support of training events and technical assistance according to criteria developed by the contractor and approved by USAID and the Training Advisory Committee.*

---

**KEY PERSONNEL*****Human Resource Development Specialist (HRDS):***

*The HRDS takes primary responsibility for all educational and training type activities. Included are the following tasks:*

- \* Develop a good understanding of the environment affecting the competitiveness of Tunisian SMEs; develop a comprehensive understanding of the environment affecting private training institutions in order to draft a "human resources development" strategy*
- \* Draft an HRD strategy that (1) defines training priorities both in training institutions and in the private sector at large, (2) details a program for strengthening the management, marketing and technical competencies of training institutions and (3) recommends levels and timing of tuition support for specific courses.*
- \* Develop strong collegial relationships with counterparts in Tunisian training institutions, current private sector users of private training institutions, and as broad a number of private sector groups as possible*
- \* Prepare Annual Training Plans to be included in the Annual Workplan*
- \* Within the area of training activities, draft scopes of work and coordinate technical assistance for needs assessments, diagnostic studies, curriculum design, course preparation and implementation, and training evaluations.*
- \* Manage the subcontracts with training institutions (including drafting scopes of work for U.S. short-term experts); help develop training plans for consulting firms under subcontract;*
- \* Coordinate recruitment, selection and orientation of overseas training candidates; maintain the training data base*
- \* Monitor programs to ensure that courses are responding to private sector demand*
- \* Develop and implement a baseline data collection system to collect key indicators on trainees and their businesses and conduct follow-on evaluations of training impact within one year of completion of all training programs of more than 3 days duration.*

*Develop sample surveys to evaluate the effectiveness of all training events of less than 3 days.*

### ***POLICY STUDIES AND AWARENESS RAISING***

*Studies funded by the Project will be "implementation oriented," and designed to identify issues or develop action plans that ease or accelerate policy reforms already supported by the Government that will result in direct, near-term benefits for the private sector. All studies will be concluded by conferences or workshops to broaden or heighten public debate or understanding.*

*Campaigns will be conducted to promote the use of business service providers by raising awareness among company owners and managers of the value of human resources development. In particular, the campaign will promote the following concepts:*

- \* new management techniques can increase productivity and products; those techniques can be acquired through training and technical assistance.*
- \* technical services can resolve technical problems and introduce management techniques that help small- and medium-sized enterprises overcome immediate and near term competitive challenges efficiently and cost-effectively; and*
- \* human resources development is key to achieving sustained growth, and longer terms gains in quality and productivity.*

---

**ANNEX 6 SELECTED INFORMATION ON COSTS OF U.S. ACADEMIC INSTITUTIONS**

In order to provide USAID/Ethiopia with more up-to-date information on which to base its estimates for long-term academic training in the United States, the team made rapid database searches using Peterson's Database of U.S. colleges and universities to get some preliminary data on costs.

In the first search, a selection was made of public universities with graduate programs in health, moderately difficult admission policies and out-of-state tuition ranging from \$7,500 to \$10,000 a year. Thirteen schools met these criteria, three of which were:

- Washington State University, out-of-state tuition and fees per year = \$7,951
- Towson State University, out-of-state tuition and fees per year = \$6,787
- Indiana University, out-of-state tuition and fees per year = \$8,137

A similar search of schools with very difficult admission policies and tuition and fees under \$10,000 a year selected only one graduate program:

- University of North Carolina at Chapel Hill, tuition and fees = \$8,461

Next a search was made for graduate programs in Educational Administration (again at public universities with moderately difficult selection policies and out-of-state rates between \$5,000 and \$10,000. The following is a selection from the ten schools meeting those criteria:

- Central Washington University, tuition and fees = \$7,023
- Texas A&M, tuition and fees = \$5,606
- University of Maryland at College Park = \$8,783
- University of West Florida (Pensacola) = \$6,605

The tuition and fees for these moderately difficult public universities average \$7,500 a year. More selective universities as well as private universities will cost considerably more. In general, tuition and fees comprise one-third to one-half of the overall yearly costs for participants. Maintenance allowance rates and administrative charges by the programmer are the two other largest budgetary line-items. The Training Unit at USAID/Ethiopia may want to prepare several sample budgets based on different scenarios, such as an 18-month MPH program with a three-month initial ELT program in the U.S. or a 24-month M.A. Allowance rates are provided in Handbook 10 updates and budgets can be made for high-cost locations as well as for more rural areas. The 1994 HRDA Workshop workbook (found in the TU) has a Lotus 123 budget worksheet on diskette for such purposes.

ANNEX 7

MISSION ORDER ON PARTICIPANT TRAINING

**USAID/ETHIOPIA**

**MISSION ORDER: PARTICIPANT TRAINING**

ORDER NO.:

SUBJECT:                   Mission Participant Training  
Policy and Procedures

SUPERSEDES:           Original

DATE ISSUED:

DATE EFFECTIVE:

## USAID/ETHIOPIA

### MISSION ORDER: PARTICIPANT TRAINING

This Mission Order: Participant Training for USAID/Ethiopia consists of two sections:

1. A Checklist of Participant Training Processing Actions, designed to assist staff of the Office of Human and Institutional Development (HID) Training Unit and to provide Project Officers and others outside of HID with a summary of the steps required to plan and process participants for training in compliance with Handbook 10 policies and procedures.
2. An Annex, Mission Participant Training Procedures Manual, designed to provide training staff with a detailed description of training policies and procedures.

## CHECKLIST OF PARTICIPANT TRAINING PROCESSING ACTIONS

TO = Training Officer  
TA = Training Assistant  
HID = Chief, HID  
P = Participant  
HS = Host institution

PO = Project Officer  
CT = Chief, Technical Office  
CO = Controller  
MD = Mission Director

PR = Programmer (U.S.)  
CN = Project Contractor  
TR = Embassy Travel Unit  
AM = American Commissary

### LEAD TIMES

Complete documentation (candidate biodata, training request information, TOEFL or ALIGU scores, and, for academic participants, copies of diplomas and certificates), should be submitted to the Training Unit:

- \* 90 days before the beginning of specially designed technical programs;
- \* 4 weeks before the start of "off-the-shelf" programs, i.e. courses already prepared and advertised in catalogues (60 days for third-country off-the-shelf programs), unless application and acceptance requirements mandate a longer lead time; and
- \* 150 days before the start of academic programs.

bt

ACTION

RESPONSIBLE PERSON

PREDEPARTURE PHASE

Design

Conduct sector or institutional analysis and Training Needs Assessment	PO, TO, CN
Conduct design of project training component	PO, TO
Write <u>Mission Training Plan</u>	TO

Recruitment & Selection

Establish selection criteria	PO, CN, TO
Prepare advertisement for recruitment	PO, CN, TO
Select candidate	PO, CN, TO
Establish consistency with <u>Project Training Plan</u> and Mission Strategic Objectives	PO, TO
Set up file on candidate	TA

English Language Testing & Training (ELT)

Determine if candidate exempt from language test	TA/TO
Administer & score ALIGU/EPT (academic) or ALIGU/CEPA (technical) test	TA/TO
Arrange intensive English training, if necessary	TO
Register and take TOEFL	P

Medical Clearance

Give candidate <u>Medical Examination Form</u> and list of approved doctors	TA
Undergo medical examination	P
Review Medical Exam Form for pre-existing conditions	TA, TO
Sign Medical Exam Form	HID

PIO/P Preparation

Submit information on candidate to Training Unit	PO/CN
Request candidate to fill out biodata (p. 3 of PIO/P)	TA

50

Key data into PTMS & print PIO/P	TA
Circulate PIO/P for clearances	TA
Sign PIO/P	TO, HID, PO, CT, CO, HS
Assign PIO/P number and fund cite (for FY94 and later funds)	CO
Fax p. 1 of PIO/P to REDSO for PIO/P no. and fund cite (pre-94 funds)	CO
Distribute signed PIO/P copies	TA
 <u>Programming</u>	
Receive PIO/P and arrange placement or program	PR
Submit <u>Training Implementation Plan (TIP)</u> to Mission	PR
Approve or change TIP	PO/CN
Submit blanket tax authorization to contractor	MD
 <u>Responsible Contractor</u>	
Ensure that arrangements for responsible contractor are in place	TO
 <u>Participant Agreement</u>	
Request candidate write <u>Action Plan</u> for post-program application of training	PO, TO
Write <u>Action Plan</u>	P
Sign and submit <u>Conditions of Training Form</u>	P
 <u>Advance Maintenance Allowance (AMA)</u>	
Send p. 1 of PIO/P to Controller and request AMA	TA
Prepare voucher for AMA	CO
Call AMCOM to verify travellers checks available	TA
 <u>Travel Arrangements</u>	
Prepare itinerary and make airline reservations	TA
Send p. 1 of PIO/P to Embassy Travel Unit and request ticket	TA
Prepare <u>Government Travel Request (GTR)</u>	TR
 <u>Visa</u>	
Verify period of validity of old passport or request candidate obtain new passport	TA

Give candidate <u>Visa Request Form</u>	TA
Fill out <u>Visa Request Form</u>	P
Prepare <u>IAP-66A Form</u>	TA
Sign <u>IAP-66A Form</u>	MD
Present <u>Visa Request Form</u> and <u>IAP-66A Form</u> to embassy for visa	P
Send signed copies of <u>IAP-66A Form</u> to HCD, giving pink copy to participant	TA
Send participant to embassy:	TA
Consular Section for visa	
AMCOM for AMA	
Travel Unit for air ticket	
Request candidate sign for AMA & air ticket	AM, TU
 <u>Arrival Cable</u>	
Cable U.S. (or third-country) programmer re ETA, amount of AMA given, and airport reception	TA
 <u>Participant Data Form (PDF) Submission and HAC Enrollment (U.S. participants only)</u>	
Prepare and distribute <u>PDF</u>	PR
 <u>Predeparture Orientation</u>	
Schedule Predeparture Orientation class	TO
Conduct Predeparture Orientation	TO, PO, CN
Lead discussion of post-program application of training, wider context of project	PO, CN, TO
Obtain signed <u>Conditions of Training Form</u>	TA/TO
Photocopy participant's travel documents	TA
Hand out materials for travel	TA

PROGRAM PHASE

52	<u>Program Monitoring</u>	
	Submit <u>Academic Enrollment Term Reports (AETRs)</u>	P, PR
	Review AETRs	CN, PO, TO

Consult on participant problems  
Keep in contact with participant

CN, PO, TO  
CN, PO, TO

POST-PROGRAM PHASE

Post-Return Briefing

Arrange formal debriefing  
Give/attend debriefings  
Prepare Training Report  
Administer Participant Evaluation Questionnaire

TO  
P, CT, PO, HID, TO, TA  
P  
TO/TA

Follow-On Activities

Assess follow-on training needs  
Arrange in-country workshops, seminars, refresher courses  
Explore appropriateness of and send returnees to HRDA and ATLAS  
follow-on conferences, workshops, etc.  
Publicize and encourage returned participants to submit  
proposals for ATLAS Grants Program  
Arrange annual Award Ceremony  
Recruite alumni participation in predeparture orientation  
Produce Mission-wide Alumni Newsletter

PO, CN, TO  
TO  
TO  
TO  
TO  
TO/TA

PTMS

Enter data into PTMS  
Keep PTMS current on activities and contributions  
of returned participants  
Send PTMS disks to G/HCD/FSTA for uploading into TIMS  
Periodically request PTIS printout from HCD and compare with PTMS record

TA  
TA  
TA  
TA

5  
3

# **USAID/ETHIOPIA**

## **MISSION ORDER: PARTICIPANT TRAINING ANNEX: PROCEDURES MANUAL**

### **I. PURPOSE**

### **II. AUTHORITY**

### **III. POLICIES AND PROCEDURES: PREDEPARTURE PHASE**

Introduction: Mission Training Plan

- A. Needs Assessment, Recruitment, and Selection
- B. Placement of Participants
- C. Design of Training Programs
- D. Candidate Processing
  - 1. Program Authorization
  - 2. Training Implementation Plan
  - 3. Language Testing and Instruction
  - 4. Medical Clearance
  - 5. Participant Agreement
  - 6. Advance Maintenance Allowance
  - 7. Travel Arrangements
  - 8. Visa Issuance
  - 9. Arrival Cable
  - 10. PDF Submission and HAC Enrollment
  - 11. Pre-Departure Orientation

### **IV. POLICIES AND PROCEDURES: PROGRAM PHASE**

- A. Responsible Contractor
- B. Program Monitoring
- C. Allowances
- D. Employment
- E. Dependents of Participants
- F. Program Extensions and Transfers
- G. Taxes

### **V. POLICIES AND PROCEDURES: POST-PROGRAM PHASE**

- A. Post-Return Debriefing
- B. Follow-On Activities

**VI. PARTICIPANT TRAINING MANAGEMENT SYSTEM (PTMS)**

**VII. MISSION STAFF ROLES AND RESPONSIBILITIES**

## USAID/Ethiopia

### MISSION ORDER: PARTICIPANT TRAINING ANNEX: PROCEDURES MANUAL

#### I. PURPOSE

The purpose of this Mission Participant Training Procedures Manual Annex to the Mission Order: Participant Training is to set forth policies, regulations, and procedures for the implementation of all U.S and third-country training activities in the USAID/Ethiopia program. It covers both the general policies and procedures governing all USAID-sponsored training and the specific application of these to the design and management of USAID/Ethiopia's training portfolio. It seeks to meet the need for a simple training management system which:

- \* maximizes development impact with minimal administrative burden on Mission staff;
- \* provides for the Human and Institutional Development (HID) Office's newly established Training Unit the structure for an effective and dependable service orientation to the rest of the Mission within a context of mutual responsibilities; and
- \* delineates all tasks and responsibilities so as to avoid ad hoc and crisis management of training programs.

For definitions of standard USAID training terms, see HB10, ch. 1D and App. A. For a list of all training forms, see HB10, App. B-1. (Both appendices are at the end of HB10.)

#### II. AUTHORITY

USAID's policies and procedures regarding participant training are found in USAID Handbook 10, Participant Training (HB10), including memo and cable updates. Other authorities relevant to training drawn on in HB10 are the Gray Amendment, the 1986 Income Tax Reform Law, and USIA regulations governing use of the J-1 Visa.

HB10 provides the authority, policies, and detailed procedures for all USAID-funded training, whether managed by the Mission directly, by the Mission and assigned to the Center for Human Capacity Development (HCD; formerly the Office of International Training) in Washington for implementation in the U.S., or by Mission-managed contractors. It is to be used by USAID staff and contractors in implementing all training activities outside Ethiopia. HB10 does not cover in-country training policies and procedures. Reference should be made to the cited portions of HB10 for fuller details on each aspect of training management.

The requirement that U.S. and third-country training activities are governed by HB10 must be explicitly stated in all contracts, cooperative agreements, and grants involving USAID-funded training. Such contracts must contain the following:

*"Participant training elements of this project will be accomplished in accordance with the policies, allowances, guidance and reporting requirements of USAID Handbook 10, Participant Training." (HB10, ch. 2).*

Development of HB10 policies and procedures is the responsibility of HCD. HB10 delegates some policy waiver authority to the Missions. All other exceptions to HB10 regulations may be authorized only by the HCD Director or designated HCD office directors. Exceptions relating to allowance issues are authorized by the HCD Allowance Committee.

USAID may not fund training programs for the military, police, prisons, or other law-enforcement agencies.

### III. POLICIES AND PROCEDURES: PREDEPARTURE PHASE

#### **Introduction: Mission Training Plan**

USAID policy discourages general participant training which is not in support of specific development objectives in the Mission strategy. Therefore, each training program must be explicitly linked to a Mission Strategic Objective and that link must be documented in project and participant records.

To this end and also to assist the Training Unit in getting an overall picture of project training portfolios, project staff should produce annual Project Training Plans. These should include the results of Training Needs Assessments, intended impact indicators, and selection procedures, along with a list of anticipated training programs and their target objectives. These may be extracted from contractors' annual Project Work Plans. These Project Training Plans should then be compiled by the Training Unit into an annual Mission Training Plan.

The purpose of both Project and Mission Training Plans is to encourage planning of training activities over a whole year in order to minimize last minute, ad hoc training activities, to provide training office staff with a calendar of scheduled training activities, and to enable training staff to assist in the identification of complementary training programs from other central and regional training projects that may be utilized by the Mission.

Since the Mission at present does not buy in to either of the two regional umbrella training projects (HRDA and ATLAS), which would serve to fill in any gaps in project training, there is no need during the first year of this Order for the standard Country Training Strategy, a major purpose of which is to coordinate the provision of complementary training from the regional training projects.

All training outside of Ethiopia must be planned to ensure that participants return home no later than six months before the Project Assistance Completion Date (PACD) in order to utilize training during the course of the project. (HB10, ch. 35)

**A. Needs Assessment, Recruitment, and Selection**

Effective participant recruitment and selection must be based on thorough Training Needs Assessments, which are a basic component of project development. The Training Officer should be a member of project design teams in the development of the training components of new projects and should be called in to assist in the analysis of human resource intervention options in existing projects and activities.

Mission training and project staff should also work with appropriate Ethiopian government offices to continue to refine the assessment of sectoral human resource needs and selection criteria for long-term training participants. Candidates for all training shall be selected according to criteria agreed upon early in the development of the project, prior to offering training opportunities.

The selection process shall ensure that, at a minimum, all candidates:

- \* are both citizens and residents of Ethiopia (persons holding American passports or green cards are not eligible, except in rare and extraordinary circumstances with a waiver approved by the Director of HCD.)
- \* possess maturity and emotional stability to enable them to complete training successfully in an alien environment, away from family and friends;
- \* are physically fit as evidenced by a medical examination;
- \* possess adequate English language proficiency to meet program requirements;
- \* have sufficient academic background and/or experience to enable them to complete the program successfully;
- \* have completed their military requirements or are exempt from conscription;
- \* possess motivation and commitment to apply their training to development in specified areas corresponding to the Mission's Strategic Objectives;
- \* have not previously been trained under USAID sponsorship outside Ethiopia (if so, justification should be incorporated in the training request.) (HB10, ch. 4E1)

To preserve transparency in selecting candidates for both long-term or short-term training, selection criteria cannot be replaced or overridden by patronage or seniority lists submitted by

the host country, which are frequently politically motivated rather than created in response to identified development needs of the host country. (HB10, ch. 4D2b)

Alternate candidates should be identified to substitute for principal candidates who decline or are unable to go for training.

Candidates for project training should be selected by a project committee that includes the Training Officer. (If and when the Mission elects to buy into umbrella training projects, such as HRDA or ATLAS, a Mission-wide Selection Committee should be established to identify training gaps to be filled by these projects and to coordinate selection for maximum program-wide impact.)

Women. The Mission shall seek to expand opportunities for training of women in all components of the Mission's program and special constraints that women face should be taken into account in planning. Recruitment efforts should be targeted at potential women candidates, especially in areas where women are traditionally underrepresented.

#### **B. Placement of Participants**

Placement in U.S. programs will be managed by:

- \* bilateral project contractors, for contract-funded participants,
- \* the Human Capacity Center's placement contractor, currently Partners for International Education and Training (PIET), Washington, for Mission direct-funded participants, or
- \* Global Bureau project contractors for Global Bureau direct-funded participants.

Placement in third-country programs will be handled by project contractors or Training Unit staff, with cooperation from the receiving Mission or U.S. Embassy, as appropriate.

HBCUs. In order to fulfill a Presidential mandate, every effort must be made to meet the goal of placing a minimum of 10% of U.S. participants in Historically Black Colleges and Universities (HBCUs). This is measured by new-start training-months as a percentage of total training months over a given year. The Mission is responsible for contractors' performance in this area and should therefore include this target in RFPs. The Mission shall review performance periodically and is responsible for reviewing and responding to HCD's annual monitoring report to the Mission of the Mission's HBCU compliance statistics.

Information and further guidance on HBCU capabilities can be obtained from HCD. Many non-HBCU training providers in the U.S. have established collaborative arrangements with HBCUs to combine resources and use of such consortia may assist Missions in meeting the HBCU mandate.

Third-Country Training in Other Developed Countries. USAID policy generally prohibits both long- and short-term third-country training in other developed countries ("non-code 941 countries") or in countries hostile to the U.S. (HB10, ch. 8A2) However, programs funded by the Development Fund for Africa may send short-term participants to "non-code 941" countries - with justification provided in the training request and a waiver by the Mission Director -- HB10 to the contrary notwithstanding, as this exception was written into the DFA legislation. Training in non-code 941 countries funded from other than DFA sources must still get a waiver from the Director of HCD.

### **C. Design of Training Programs**

Integrated Phases of Training Programs. Each training program shall be planned to consist of three integrated phases:

- \* pre-departure phase -- to impart traditional "orientation" materials and also to set the parameters of expected impact, build commitment to change, and generally prepare the participant for his or her reintegration;
- \* training phase -- to acquire new technical and change-agent skills and attitudes;
- \* post-training or follow-on phase -- to support the participant in applying, and keeping current, acquired skills and attitudes.

Training staff will take the lead in developing and implementing pre- and post-training modules, working collaboratively with Project Officers.

Research Relevant to Ethiopia's Needs. For training programs with a research component, priority should be given to research topics which are specific or applicable to Ethiopia and should be discussed by the participant, Project Officer, contractor, and institution prior to departure. Documentation needed for such research should ideally accompany the participant when leaving for training.

The academic advisor should ultimately assist the participant to plan and execute research which has the most local benefit. If in-country research is appropriate, the Project and Training Officers will work jointly to make the necessary funding and programmatic arrangements.

### **D. Candidate Processing**

There are two kinds of participants:

- \* Contract-funded participants are those whose training is fully-funded through a project contract and managed by the project contractor or sub-contractor, who, when the contract is established, will be responsible for most of the processing actions, in coordination with HID Training Unit staff.

- \* Directly-funded participants are those whose training is managed either by the HCD and its contractor, Partners for International Education and Training (PIET) or by a receiving USAID Mission (in the case of third country training in a USAID country.) HID Training Unit staff will be responsible for processing actions of directly-funded participants.

Lead Times. All Mission and contract staff involved with training must take into account the lead times needed to select and prepare participants to depart for U.S. or third-country training as well as the lead time required to arrange their individual training programs. Complete documentation (candidate biodata, training request information, TOEFL or ALIGU scores, and, for academic participants, copies of diplomas and certificates, should be submitted to the Training Unit:

- \* 90 days before the beginning of specially designed technical programs;
- \* 4 weeks before the start of "off-the-shelf" programs, i.e. courses already prepared and advertised in catalogues (60 days for third-country training) unless application and acceptance requirements mandate a longer lead time; and
- \* 150 days before the start of academic programs. (HB10, ch. 6D9)

#### Processing Steps

To complete the processing of a participant, the following actions have to be taken, organized here in order of completion and according to the governing policy and the forms and documents used to implement them. To monitor and facilitate the timely completion of each stage, the Training Assistant will utilize the checklist at the beginning of this Mission Order.

Before project contractors are established, Training Unit staff will directly manage most programs and perform the necessary processing steps. However, after project contractors are set up and operating, most programs will become contract-managed and many processing actions will become the responsibility of the contractors. Therefore, in the following, in some actions, both Training Unit and contractor staff are listed as responsible parties.

- 1. Program Authorization: All USAID-sponsored individuals in U.S. or third-country programs must be documented by a PIO/P, regardless of the funding mechanism.**

Form: Project Implementation Order/Participant (PIO/P) (USAID 1930-1)

Source: Generated by Participant Training Management System (PTMS; Mission training databank), or photocopied from HB10

Preparer: Page 1: Funding data: Training Unit, from information provided by Project Officer/contractor  
Page 2: Training request: project staff

Page 3: Biodata: candidate (writes on blank PIO/P form, which is then keyed into PTMS by the Training Assistant)

PIO/P numbers and funding cites are assigned by the Controller for programs funded with FY1994 or later money. For programs using earlier funds, the Controller faxes page 1 of the PIO/P to the Controller, REDSO/Nairobi, for assignment of PIO/P number and funding cites. With regard to non-funded PIO/Ps, PIO/P numbers only are assigned by the Controller.

When project contractors are established, they will have the responsibility for supplying PIO/P data in PTMS format to the Training Unit. After the Mission's Participant Training Management System (PTMS) is accessible to project offices, PIO/P preparation and clearance will be facilitated.

**Signer:** Clearances: Project Officer; Chief of the originating technical office; Training Officer; authorized signer for the host institution (a letter from the host country institution requesting or agreeing to the training program can substitute for the host signature); Controller (funded PIO/Ps only). Approval: Chief, HID.

**Distrib.:** Project Officer; Controller; host country institution; participant file; and, for funded PIO/Ps only, HCD/FSTA (5 copies.)

**Info:** HB10, chs. 6, 7, 16, and 38. USAID/Ethiopia Mission Order 1-7: "Delegation of Authority to the Chief of the Human and Institutional Development (HID) Office" [to approve PIO/Ps.]

**PIO/P:** The funded PIO/P is both a financial document and a training request and authorization form. Each academic participant must be on a separate PIO/P. Short-term technical participants undergoing a single training program that is identical for all participants may be on one PIO/P.

A clear and full description of the type and nature of the training requested is needed for proper program design and placement. Participant data should first be entered into PTMS and the PTMS PIO/P generator feature used to print the PIO/P.

There are two types of PIO/Ps:

- \* A funded PIO/P is an obligating (or sub-obligating) document and is for direct-funded U.S. participants who are to be managed either by HCD's contractor, currently PIET, for U.S. participants, or by another USAID Mission for third country programs. Funded PIO/Ps are prepared by the Training Unit.
- \* An unfunded PIO/P is for contract-funded participants, whose training is managed by a project contractor (in which case the contract is the funding document.) After contractors are established, all PIO/Ps for project contractor-managed programs will be prepared by the contractor before being submitted to the Training Unit for clearance.

PIO/Ps must be clearly marked "funded" or "unfunded" on the first page. Unfunded PIO/Ps should also include the contract number of the contract from which funds will be used.

Regardless of whether the PIO/P is funded or unfunded, the budget should be the best estimate of total program cost for the individual or group and should include tax liability (see HB10, ch. 38.) It is Mission policy to fully fund PIO/Ps, when possible. However, for long-term programs, if available funds are insufficient to cover training costs beyond the first year, the Training Office will amend the PIO/P for the following years after consulting with the Project Officer.

Partially-funded training: Only individuals who are at least partially funded by USAID are considered participants. At a minimum, such partially-funded participants must be funded for HAC and for the programming agent's administrative fee.

Invitational Travel Orders are not used for training. They may be used for foreign nationals to attend a meeting, seminar, or conference when such attendance is for the purpose of contributing to the agenda of the meeting, seminar, or conference. (HB10, ch. 16A5)

Additional documentation from academic participant: In addition to filling out page 3 (biodata form) of the PIO/P, and depending on the requirements of the training program, the participant must submit transcripts, diplomas, certificates, and TOEFL (or ALIGU) scores.

**2. Training Implementation Plan (TIP): There must be a Training Implementation Plan for each participant or group of participants. The Training Implementation Plan details how the training requested will be carried out.**

Form: No set format required. Training Implementation Plans (TIPs) for programs designed by PIET, in response to funded PIO/Ps, are sent to Missions by cable and contain both programming and logistical details, based on information in the PIO/P. Other programmers can use the PIET TIP cable as a model format.

Preparer: Programmer (PIET) or project contractor

Deadline: For technical placements not requiring extensive programming effort, the programmer should send the TIP to the Training Unit no more than 10 days after receiving the PIO/P. For academic or technical placements requiring detailed arrangements, the TIP is due within 90 days of the contractor's receipt of the PIO/P.

Info: HB10, ch. 9

**3. English Language Testing and Training: The candidate must demonstrate proficiency in the language of instruction. Promising candidates who miss Call Forward Scores may be given pre-departure or pre-enrollment English classes to prepare them for training.**

Forms:

1. ALIGU Request Memo: Project Officer (via e-mail) or project contractor to Training Assistant, requesting administration of appropriate (see below) ALIGU test.
2. TOEFL Application Form: for submission to Educational Testing Service (ETS), Princeton, New Jersey, to apply for TOEFL (for academic participants only.)

3. Participant English Language Testing and Training Report (USAID 1380-14): Training Unit to HCD/Office of Program Operations and Support Services (HCD/POSS) annually reporting on Mission's language training and testing activities.
- Source:
1. ALIGU Memo: model on Mission public directory
  2. TOEFL Application Form: Training Unit (which should request ETS to send a supply annually); also USIS or Institute of Language Study, Addis Ababa University.
  3. English Language Report: photocopy from HB10, ch. 12A
- Preparer:
1. ALIGU Memo: Project Officer or contractor
  2. TOEFL Application Form: Candidate
  3. English Language Report: Training Unit
- Signer:
1. ALIGU Memo: Project Officer or contractor
  2. TOEFL Application Form: Candidate
  3. English Language Report: Training Officer
- Info: HB10, ch. 12; State cable 097153 (April 13, 1994)

It is USAID policy that to benefit from training all participants must have adequate proficiency in the language of instruction. State cable 097153 delegates to the Mission Director the authority to approve waivers to the requirement for English language testing in countries where English is one of the official languages and where it is the language of instruction in secondary and tertiary schools. Although Ethiopia is in this category, there has been a marked decline in English language skills in recent years and therefore the Mission will continue to test candidates.

Proficiency should not be subjectively judged on the basis of a conversation with the candidate, but should be demonstrated by achieving a Call Forward Score on one of three standardized English language tests:

- \* The American Language Institute of Georgetown University English Proficiency Test (ALIGU/EPT), a test for academic candidates;
- \* ALIGU's Communicative English Proficiency Assessment (ALIGU/CEPA), a test for short-term technical participants whose programs do not require as high a level of English as academic candidates; or
- \* The Test of English as a Foreign Language (TOEFL).

The TOEFL is the most widely recognized English proficiency test and is required by most universities in the U.S. It is unfortunately given only three or four times a year in Ethiopia, requires a total of several weeks for registration and score reporting, is relatively expensive, and requires the candidate to exchange local currency for a bank instrument in dollars. The cost of TOEFL registration is to be borne by the candidate or his or her employer.

The ALIGU tests are a convenient means to demonstrate proficiency because they can be administered by the Training Unit, can be immediately hand-scored, and their scores converted

to TOEFL equivalents. (The Michigan Test of English is not to be used, because scores cannot be equated with TOEFL or ALIGU.)

The Chief, HID, has responsibility for the secure storage and administration of the ALIGU tests. To minimize the number of separate ALIGU administrations, a schedule of test dates should be prepared by the Training Unit, based on Project Training Plans, and circulated to project staff.

The following chart shows the minimum acceptable ALIGU/EPT Call Forward scores for each test for academic and technical training:

Minimum Call Forward Scores

<u>TOEFL</u>				
		Academic	500	
		Technical	450	
<u>ALIGU/EPT</u>	Listening	Grammar	Reading/Vocabulary	Total
Academic	85	75	80	240
Technical	75	60	65	200
<u>ALIGU/CEPA</u>		Technical	65	

If a training institution's language proficiency requirements are higher than the USAID minimum scores, then they will need to be met, either in-country or in the U.S., before full admission is obtained.

It is USAID policy to keep training costs down by bringing candidates' English skills to the Call Forward Score before departure. The Mission therefore is looking into providing low-cost remedial English classes locally. Until such a program is set up, candidates may have to be enrolled in intensive language programs in the U.S. prior to the beginning of academic or technical study. It is estimated that a minimum of three months of intensive English in the U.S. will be needed to bring candidates up to a proficiency level for graduate studies.

It is the responsibility of the Training Unit staff to monitor the progress of candidates in English language courses.

The Training Unit should submit to HCD/POSS by mid-February of each year the Participant English Language Testing and Training Report.

- 4. Medical Clearance:** No matter how funded or where training takes place, each candidate must be given an USAID-approved medical examination to determine whether he or she is physically and emotionally fit to undergo training and whether there are any pre-existing medical conditions that might impede the program or incur medical expenses on the part of USAID.

Form: Medical Examination and Certification Form (USAID 1382-1)  
Source: HB10, ch. 13A, photocopied  
Preparer: Candidate; physician  
Signer: Candidate; physician; Training Officer; Chief, HID; Mission Director (if pre-existing condition waived)  
Info: HB10, ch. 13; ch. 25

A medical examination and completion by a physician of the Medical Examination and Certification Form no more than four months prior to departure are required for enrollment in the agency's mandatory Health and Accident Coverage Program (HAC), which does not cover pre-existing conditions. If the candidate has any pre-existing condition, it must be fully documented on the form. The Mission should take reasonable steps to safeguard the integrity of the examination process and will explore the use of the U.S. Embassy's physicians referral list. The cost of the examination will be borne by the candidate or his or her employer.

The Chief, HID must review and sign the medical form. If there are no identified pre-existing conditions and if everything is acceptable, the candidate is medically approved and the Mission communicates this to the contractor. (This alone does not enroll the candidate in HAC; see below, section 9, below.)

If a pre-existing condition is identified, the USAID Director may approve sending an individual for training anyway, based on recommendations of the Project Officer and depending on the nature of the condition, the importance and length of the program, and other factors. If so, the Mission thereby assumes responsibility for any expenses related to treatment during training for that condition. In that case, the medical form must be sent to HCD/POSS.

All medical forms must be kept confidential.

Medical examinations and insurance are also required for third country training. The sending Mission must either enroll the participant with a local insurance company operating in the receiving country, or arrange for coverage with a firm in the receiving country.

For information on enrollment in HAC, see section 9 below.

**5. Participant Agreement: The participant must agree in writing to the conditions, responsibilities, and goals of the training program.**

Form: 1. Terms and Conditions of Training (USAID 1381-6)  
2. Action Plan (optional), participant's brief description of intended application of training  
Source: 1. Conditions of Training: Photocopied from HB10  
2. Action Plan: No set format

- Preparer:           1.       Conditions of Training: Contractor, or training staff  
                           2.       Action Plan: Participant
- Signer:               1.       Conditions of Training: Participant; contractor, or training staff.  
                           2.       Action Plan: Participant; Project Officer, contractor, supervisor
- Info:                 HB10, ch. 18

Every participant must be advised of the conditions and responsibilities which accompany his/her acceptance of USAID sponsorship for training. These conditions are found on the Conditions of Training Form and are listed in HB10, ch. 18. They should be reviewed point by point by the candidate and the project contractor or training staff, as appropriate, after which the candidate must agree to conform to these requirements by signing the form. If any of the conditions of training are violated, the USAID Director reserves the right to terminate the participant's training program.

For public sector participants, the host country institution must also indicate in writing that the participant will be released from official duties during the training period and re-employed after training is completed. This should be a part of the bilateral agreement with the host government, or at a minimum, stated in a letter.

The candidate should also be encouraged to write a brief Action Plan, which proposes how the training is to be applied on return and describes, as appropriate, what the impact of the training is expected to be. This should be worked out with, and signed by, the Project Officer or project contractor and others involved in the participant's work, such as the supervisor or appropriate institutional leader.

Although the participant should begin thinking about and writing the Action Plan at the time of selection, formal discussion of it and signing of the Conditions of Training Form may take place together at the predeparture orientation session (see below, section 10.)

**6. Advance Maintenance Allowance (AMA): The participant must be given funds in advance for incidental expenses en route and for the initial period of time in the country of training.**

- Forms:               1.       Signed PIO/P, copy of p. 1  
                           2.       Public Voucher (SF1034)  
                           3.       Receipt
- Source:              1.       PIO/P: Training Unit  
                           2.       Voucher: Controller  
                           3.       Receipt: AMCOM office in Embassy
- Preparer:            1.       PIO/P: Preparation completed earlier  
                           2.       Voucher: Controller  
                           3.       Receipt: AMCOM

- Signer:
1. PIO/P: Signed earlier
  2. Voucher: Controller
  3. Receipt: Participant

Info: HB10, ch. 11, attachment 11DI, for calculation of AMA

Advance Maintenance Allowance (AMA), normally in the amount of \$975, is given to direct-managed participants in the form of travelers checks by the AMCOM office at the American Embassy. The Training Unit gives a copy of page 1 of the PIO/P to the Controller, who prepares a Public Voucher (SF1034), which the participant submits to the AMCOM at the U.S. Embassy to get the travelers checks. The service charge for the travelers checks should be on a separate line of the PIO/P and added to the amount of AMA so that the participant does not pay for it out of the advance. The participant signs a receipt, which AMCOM sends back to the Controller.

The Mission has waived the host country's obligation to pay for international travel and incidental expenses en route (see section 7, below) and will establish a standard amount to be added to the AMA for incidental expenses.

Local contractors will devise their own financial management system to provide AMA and incidental expenses, based on USAID/Ethiopia and U.S. government regulations.

Participants receive USAID maintenance allowance (see section IV.C below), so AMA must be calculated on that basis, not according to U.S. Government per diem rates. (HB10, ch. 11, attachment 11DI)

- 7. Travel Arrangements: Timely arrangements have to be made for airline reservations and ticketing and they are to be made only by the Training Unit for direct-funded participants and by the contractor for contract-funded participants. Travel paid for by the U.S., whether direct-funded or contract-funded, must be on American carriers, where possible.**

- Forms:
1. Signed PIO/P, copy of p. 1
  2. U.S. Government Transportation Request (GTR) (SF1169), for direct-funded participants
- Source:
1. Signed PIO/P: Training Unit
  2. GTR: U.S. Embassy Travel Unit, for direct-funded participants
- Preparer:
1. Signed PIO/P: preparation completed earlier
  2. GTR: U.S. Embassy Travel Unit, for direct-funded participants
- Signer:
1. Signed PIO/P: signed earlier
  2. GTR: Director, U.S. Embassy Travel Unit, for direct-funded participants
- Info: HB10, ch. 16; ABC World Airways Guide

For direct-funded participants, Training Unit staff make the airline reservation and send the reservation information, along with a copy of page 1 of the PIO/P, to the U.S. Embassy Travel Unit, which prepares a GTR for the ticket. The participant goes to the Embassy Travel Unit to receive the ticket.

Contractors will devise their own system to procure air tickets.

USAID/Ethiopia has signed a blanket waiver from the HB10, ch. 16C requirement that the host government pay for international travel and incidental expenses en route.

**8. Visas: Participants are admitted to the U.S. only under the USAID J-1 visa.**

- Forms:
1. Non-Immigrant Visa Application (FS-257A)
  2. U.S.I.A. Certificate of Eligibility for Exchange Visitor (J-1) Status (IAP-66A), latest version, 6/94; kept under lock
  3. IAP-66A Usage Report (1384-1)
- Source:
1. Visa Application: U.S. Embassy
  2. IAP-66A: Numbered copies from HCD/POSS, kept under lock in the Mission
  3. IAP-66A Usage Report: HB10, ch. 14, Attachment B
- Preparer:
1. Visa Application: Candidate
  2. IAP-66A: Training Assistant
  3. IAP-66A Usage Report: Training Assistant
- Signer:
1. Visa Application: Candidate
  2. IAP-66A: Chief, HID (or designated alternate, Mission Deputy Director)
  3. IAP-66A Usage Report: Training Assistant

Info: HB10, ch. 14, for details on completing forms and on disposition of copies

All USAID-sponsored participants are admitted to the United States only under the USAID J-1 visa, which prohibits the holder from seeking permanent residence in the U.S. for a period of two years following the end of training.

The participant is responsible for completing the Visa Application Form, signing the IAP-66A form, and providing two passport size photos to the Training Assistant no less than two weeks before the date of departure. The Training Assistant completes the IAP-66A form according to instructions in HB10, ch. 14.

J-1 visas may now be issued for the full period of training (for a maximum of five years) if the latest version of the IAP-66A form (dated 6/94) is used. This avoids having to renew IAP-66A forms annually for long-term participants.

The Training Assistant submits the completed IAP-66A form to the Mission-designated Responsible Officer (Chief, HID), or the Alternate Responsible Officer (Mission Deputy

Director), for signature. The Training Assistant retains the green copy and sends the blue copy to G/HCD/POSS in Washington.

The participant takes the signed Visa Application Form and the white, yellow, and pink copies of the IAP-66A forms, along with the signed PIO/P, to the U.S. Embassy Consular Office for the visa. The Consular Officer returns all three copies of the IAP-66A to the participant, who presents them to the Immigration and Naturalization Service (INS) Officer on arrival in the U.S.

The participant keeps the pink copy of the IAP-66A and the I-94 form (Arrival/Departure Record, issued by INS on entry into the U.S.) stapled together in the passport.

The IAP-66A form is a numbered, controlled document which must be kept. At the end of the fiscal year, the Training Assistant accounts for all forms, used or spoiled, by number on the IAP-66A Usage Report, which is sent to G/HCD/POSS. This form can be photocopied from HB10, ch. 14, Attachment B.

9. **Arrival Cable:** Adequate notification of the participant's ETA should be communicated to the contractor in the country of training, who should also be informed of the amount of Advance Maintenance Allowance (AMA) paid and amount of the check to be prepared for arrival. Airport reception at the point of entry is advisable, especially if the participant is a first-time visitor to the country.

Form: Arrival Cable, or, as appropriate, fax, to contractor  
Source: Model on public directory; same format for contractor  
Preparer: Training Assistant, for direct-funded participants; contractor, for contract-managed participants  
Signer: Training Assistant and Chief, HID; contractor  
Info: HB10, ch. 16

Notification should be sent at least one week prior to arrival. Information on the direct-funded participant's ETA and amount of AMA paid should be cabled by the Training Unit to the contractor in the country of training. Contractors should fax this information for contract-funded participants. If airport reception, for a fee, is desired, this must be specifically requested. (HB10, ch. 16I)

10. **PDF Submission and HAC Enrollment:** Data on U.S. participants must be sent by the contractor to HCD/POSS on the Participant Data Form (PDF), which also serves as enrollment in the agency's Health and Accident Coverage (HAC) program. All participants whose training is in the United States, including those programmed by host country contractors, grantees, or other entities, must be enrolled in HAC.

Form: Participant Data Form (PDF) (USAID 1381-4)

Source: Electronic; also pre-numbered forms ordered from HCD/POSS

Preparer: PIET or project contractor

Signer: Project contractor; sent electronically to HCD/POSS no later than seven days after participant's arrival in the U.S.

Info: HB10, ch. 24

The Participant Data Form (PDF) has two functions. It 1) provides to HCD/Washington data on the USAID-funded participant and 2) automatically enrolls the participant in HAC for all programs in the U.S. It should be submitted to HCD/POSS as soon as the date of arrival has been determined to allow time for enrollment and for issuance of the HAC identification card.

Enrollment in HAC is mandatory even when other insurance is included in the training institution's fee structure. Since HAC is not insurance, per se, but a "self-funded" plan, in which USAID pays all covered medical bills, the participant who also has coverage from the training institution should first exhaust that insurance coverage before making claims for HAC coverage.

Data on the PDF form are derived from the PIO/P and the IAP-66A. In addition, the contractor includes on the PDF the statement "Medcert on file in USAID" after being informed so by the Mission. This indicates that the medical examination has been conducted and that no pre-existing conditions have been identified. If the Mission notifies HCD or the contractor that a medical waiver has been issued for a pre-existing condition, that fact is also noted in the Program Changes block on the PDF.

The Training Unit has no responsibility for the PDF and, because all information on it is already in the Mission records, the Mission does not receive a copy.

Health and accident insurance for third country training must be arranged (by the contractor or by the Training Unit, as appropriate), if necessary with the assistance of the USAID Mission in the third country. The Training Unit should investigate the availability of appropriate insurance coverage from Ethiopian firms, in anticipation of the development of third country programs. Coverage under the HAC program is available only for participants in the U.S. It is not available for third-country programs.

- 11. Predeparture Orientation: All participants should receive predeparture orientation to facilitate their understanding of the planned training program, travel and financial logistics, and life in the country of training. However, activities should go beyond traditional "orientation"; attention should be devoted to discussing the developmental context within which the training should be approached, reviewing and signing an Action Plan for utilizing training, and encouraging commitment to an enlarged developmental role.**

- Form:
1. Participant Predeparture Checklist, in HB10, ch. 17, Attachment 17A
  2. Participant's Action Plan (see above, section 5; no set format)

Info: HB10, ch. 17

Predeparture preparation plays an important role in a successful training program and later reintegration and application of new skills. In addition to explanations of administrative requirements, program arrangements, and introduction to the life and culture in the U.S. (or third country), predeparture sessions offer an opportunity for project staff to set a broad framework for the training program, build commitment to more effective utilization of training, and establish links with participants who have returned.

Depending on the funding of the participants, the Training Officer or the contractor shall take the lead in arranging the predeparture session. However, the Training Officer will actively participate in and contribute materials for all predeparture orientations, especially as this broader approach to predeparture is being developed.

The Project Officer and other appropriate Mission and host country individuals should be invited and encouraged to participate. Also, returned participants should be invited to discuss their experiences in training and in reintegration.

Prior to the orientation, the participant should be encouraged to prepare an Action Plan which details, as appropriate, how the training is intended to be utilized. Review of this plan should be a major activity in the predeparture session.

It is more cost-effective to schedule predeparture sessions for groups of departing participants, ideally from the same sector. In order to set up such classes, the Training Unit must work in close coordination with the sending projects.

Appropriate predeparture materials will be designed by the Training Unit and adapted for specific project use. Refer also to HB10, ch. 17 for contents of standard predeparture orientation.

#### IV. POLICIES AND PROCEDURES: PROGRAM PHASE

- A. Responsible Contractor:** All participants must be under the responsibility of an institution or other entity in the country of training contractually linked to USAID/W or to the Mission.

USAID is responsible for all participants it sends out of the country for training, regardless of the mode of management of the training program. Therefore all participants must be under the responsibility of an institution or entity which programs the participants, receives them on arrival, monitors their programs, issues allowances, renders assistance in emergencies, reports on training progress, and evaluates the quality of the training. The entity normally charges an

administrative fee for these services. An informal or cost-free arrangement with the training institution, such as with a professor or with the Foreign Student Advisor, does not constitute the required contractual link.

Participants managed through technical project contracts are the responsibility of the projects' contractors. In the U.S., participants programmed through HCD are the responsibility of HCD's programming contractor, currently Partners for International Education and Training (PIET). Participants in centrally-funded or -managed programs are the responsibility of the programs' contractors.

Info: HB10, ch. 1E

**B. Program Monitoring: All training programs must be monitored by the programming contractor.**

Form: Academic Enrollment and Term Report (AETR) (USAID 1380-69)

Source: Photocopied from HB10, ch. 26, Attachment 26A

Preparer: Academic student and university advisor

Signer: Academic student and university advisor

Info: HB10, ch. 26

It is USAID policy that all participants' programs be closely monitored to assure that timely assistance can be given in cases of poor program performance and that the Mission's training goals, and not the participants' personal agendas if they are in conflict, are pursued and met. Most unsuccessful programs are associated with poor monitoring.

The contractor or programming agent responsible for academic participants must carefully review and submit to the Mission the Academic Enrollment and Term Reports (AETR), filled out by the student and advisor, no later than 30 days following the end of every academic term. USAID or contractors have the authority to withhold allowance payments to participants if these reports are not submitted promptly. AETRs include the academic status and the expected completion and return dates for the participant. They are also necessary in determining whether a requested program extension is justified.

Although immediate responsibility for monitoring students' progress rests with the project contractors or PIET, the training staff and Project Officer should also carefully review the AETRs and request contractor follow-up in cases where students' programs appear to be going off-track.

**C. Allowances: However managed or funded, participants must receive allowances specified in HB10 for their category of training and training site.**

- Info:           1.        HB10, chs. 11, 8, and 5  
              2.        Memo, Judy S. McKeever, G/HCD/POSS, to Contractors, December 6, 1994

Participants receive USAID maintenance rates, as specified in HB10, ch. 11, Attachment 11D(1), not U.S. Government per diem. For high ranking participants, "Exceptional Per Diem Allowance due VIP Rank" may apply (HB10, ch. 11, Attachment 11D(1)V.) The McKeever memo, cited above, delegates authority for approval to Missions and Bureaus.

**D.    Employment:** It is USAID policy that participants not work or accept employment except in connection with a fellowship, assistantship, on-the-job training, or practical training experience which is an integral part of the participant's approved program as reflected in the PIO/P and IAP-66A. In these cases, when a salary or stipend is paid the participant's maintenance shall be reduced by the net amount of salary or stipend paid.

- Form:           Request for Approval of A.I.D.-Sponsored Participant to Work (USAID 1381-5A)  
Source:         HB10, ch. 29A  
Preparer:       Participant  
Signer:         Contractor; Chief, HID; Director, HCD  
Info:            HB10, ch. 29

Employment may not exceed twenty hours per week and may not adversely affect the participant's program. Financial need arising from a participant's having his or her dependents in the U.S. is not considered to be sufficient justification for employment.

**E.    Dependents:** Under exceptional circumstances, participants may request permission for their dependents to join them during their training in the U.S.

- Form:           Dependent Certification Form (USAID 1380-5)  
Source:         Contractor  
Preparer:       Participant  
Signer:         Contractor; Chief, HID; host country employer; Director, HCD  
Info:            HB10, ch. 15

The participant must successfully complete an academic or training term and remain in one place in the U.S. for at least six months before dependents are allowed to come to the U.S. Proof of adequate financial resources (e.g. bank statements, non-refundable round-trip ticket, proof of insurance) for all expenses for dependent(s), in addition to the USAID maintenance rate) must be furnished.

**F. Program Extensions and Transfers: It is USAID policy that program extensions not be granted unless there is clear justification for continued training.**

Info: HB10, ch. 30

Vigilant monitoring should identify cases of academic problems and address them to preclude terminations or last-minute requests for extensions. Complete documentation will be required by the Mission before entertaining any request for extension. Transfers will be considered only under special circumstances. In general, changes in degree objectives (e.g. from a master's to a Ph.D. degree) will not be approved. Exceptions to this can be made by the Mission Director.

**G. Taxes: USAID will pay income taxes due on income from the approved training program and from authorized employment.**

Form:

1. Blanket Mission Approval for Payment of Taxes
2. Statement of Expenditures Form (IRS 1042S)
3. Statement of Expenditures Letter (USAID)
4. Power of Attorney and Declaration of Representative Form (IRS 2848)
5. IRS Income Tax Return

Source: HB10, ch. 38A and B; David La Mar, USAID Tax Tool Kit for Contractors; IRS

Preparer:

1. Blanket Approval: Mission
- 2 & 3. Statement of Expenditures form and letter: Contractor
4. Power of Attorney: Participant
5. Tax Return: HCD/POSS/TAX

Info: HB10, ch. 38; Tax Tool Kit (issued yearly)  
Contact: David La Mar, HCD/POSS/TAX

Contractors are responsible for submitting financial data to HCD/POSS/TAX, which will calculate the taxes due and complete and submit the tax returns. Programs identified on the PIO/P as "job-related" are in a lower tax category. All processing of tax matters is the responsibility of contractors and HCD/POSS/TAX. The Mission need only issue to its contractors each year a blanket Mission approval for HCD/POSS/TAX to pay all participant tax liabilities incurred in that year. In the absence of such blanket approval, the Mission will be requested to approve each tax payment.

Taxes should be taken into account when preparing large training program budgets or individual PIO/P budgets (see section 1 above).

## V. POLICIES AND PROCEDURES: POST-PROGRAM PHASE

**A. Post-Return Debriefing: Returned participants should provide feedback on their program to Mission, contract, and host country staff by means of an oral debriefing, submitting a brief written report, and completing an evaluation questionnaire.**

Form:           1.       Oral debriefing  
                  2.       Written Training Report  
                  3.       Evaluation Questionnaire

Preparer:       Returned participant

Info:            HB10, ch. 34

It is highly desirable that returned participants provide feedback on their programs and keep in contact with the Mission. All returned participants should provide an oral debriefing to appropriate Mission, contractor, and ministry or workplace staff. Depending on the nature of the program and future role of the participant, Mission and host government personnel should be invited to and encouraged to attend and discuss with participants and their colleagues both the quality and intended application of the training received. Participation by supervisors and co-workers in such discussions, where appropriate, should facilitate reintegration and establish mutual roles and responsibilities in utilizing the training to bring about intended change.

All participants should also be required to provide a written Training Report of 2-3 pages on how they plan to apply their training. This should be reviewed in the context of the Action Plan prepared prior to the training program.

At the oral debriefing, the Training Unit staff should administer the returned participant's evaluation questionnaire (HB10, ch. 34.)

**B. Follow-On Activities: To maximize the investment in training, the Mission should organize activities designed to reinforce learned skills and attitudes, promote their application in the workplace, and sustain linkages with institutions and other participants developed in training.**

This should not be considered an optional extra to be added on after training has "ended", but rather the third, and open-ended, phase of training in a modular approach.

Among the activities which should be considered include:

- \* Workshops, seminars, and refresher courses. Projects with participant training should contain additional funding for appropriate continuing education and follow-up activities after the participants return. The Training Officer should confer with project and host institution staff to identify additional training needs and develop in-country courses to meet them.

Both ATLAS and HRDA hold regional workshops to which non-ATLAS and -HRDA Missions can send participants, with topics relevant to the Mission's program. These also provide excellent opportunities to establish contacts with participants from other countries.

Grants. The ATLAS Grants Program offers a mechanism with which to encourage groups of returned academic participants, not all of whom had to have studied under AFGRAD or ATLAS, to organize and submit proposals for follow-on activities. Such activities can be designed to serve the Mission portfolio as well as the personal and professional interests of returned participants. Examples of such activities are the provision of in-country training workshops in business management to local entrepreneurs or in project proposal writing to NGO staff. This program is also open to Missions which do not currently participate in ATLAS; contact the ATLAS Project Manager in G/HCD for further information.

- \* Award Ceremonies: The Mission should hold award ceremonies annually to honor returned participants and formally hand out Certificates of Achievement in a forum that allows for appropriate public recognition..

Form: USAID Certificate of Achievement  
Source: HCD/POSS  
Signer: USAID Administrator (by machine) or Mission Director  
Info: HB10, ch. 35

- \* Alumni Participation in Pre-Departure Orientation. The Mission and contractor should actively encourage returned participants to assist in predeparture orientation and to share their experiences with participants about to go for training. Recently returned participants are most qualified to assist new trainees in adapting to a new way of life and educational system. This is not limited to long-term participants.
- \* Alumni Newsletter. The Training Unit should consider preparation of a newsletter for returned participants.

## VI. Participant Training Management System (PTMS)

The Participant Training Management System (PTMS) is the basic informational tool for storing and processing training information. It should be fully utilized not only as a repository of participant data, but also as a Mission training management tool. After it is linked through the LAN to Mission technical offices and contractors, the processing flow will be significantly eased.

Relevant facts of and comments on student program progress should be entered into PTMS. After the end of the training program, the Training Unit should continue to enter post-training and impact data into PTMS. Thus, PTMS can also serve as a databank of trained sector specialists to be tapped by the Mission, other development agencies, and the host government in the future.

The Training Assistant should send PTMS disks to G/HCD/FSTA quarterly for uploading into the Africa Training Information Management System (TIMS).

The Training Officer should also request annually from HCD a printout of current participant data contained in USAID/Washington's data record, the Participant Training Information System (PTIS), for comparison with the Mission's PTMS record.

## VII. MISSION ROLES AND RESPONSIBILITIES

Office of Human and Institutional Development (HID) Training Unit: The HID Training Unit has primary responsibility for implementing USAID/Ethiopia's participant training portfolio and is the central source for information on the Agency's training policies, procedures and regulations, training design, training opportunities, and participant records. The Training Unit serves Mission project staff to maximize the impact of training on the achievement of USAID/Ethiopia's Strategic Objectives by:

- \* Reviewing and contributing to the design of the training components of bilateral projects at the project design stage;
- \* Assisting Project Officers and contractors with Training Needs Assessments and other human resource assessments of host institutions;
- \* Meeting with Project Officers and contractors to develop Project Training Plans;
- \* Compiling information from Project Training Plans into annual Mission Training Plans;
- \* Assisting Project Officers and contractors in the selection process for U.S. and third-country participants;
- \* Overseeing processing of participants for U.S. and third country training;
- \* Coordinating pre-departure English language testing and training;
- \* Advising and monitoring contractors' overall management of project training components;

- \* Monitoring progress of academic participants through regular review, jointly with Project Officers and contractors, of Academic Enrollment and Term Reports (AETRs) and other evidence of program status, as appropriate; conferring with project staff regarding actions to correct program problems.
- \* Organizing formal debriefing sessions for participants upon return and administering evaluation questionnaires;
- \* Providing leadership in developing follow-on training activities for returned participants;
- \* Locating former participants and assessing interest in their assisting Mission with training design, selection, orientation, evaluation, or mentoring services;
- \* Ensuring, in coordination with Project Officers, that contact is maintained with returned participants after project completion;
- \* Receiving and distributing notices of training course offerings and USAID training policy changes to Mission and contract staff;
- \* Maintaining database in the Participant Training Management System (PTMS), and providing statistical data and periodic reports to Project Officers and Mission management;
- \* Collecting, updating and reporting data on U.S. and third-country training to the Center for Human Capacity Development, the Africa Bureau, and other USAID/W offices as required.

The Training Officer, working with the Training Assistant, has the immediate responsibility to carry out the these tasks and to follow the procedures outlined in this Training Order and in HB10.

The Chief of the Human and Institutional Development Office is responsible for ensuring that the Training Unit carries out its responsibilities.

Contractors and project staff are responsible for:

- \* conducting Institutional and Training Needs Assessments during the project design stage;
- \* developing training interventions appropriate to the assessed needs;
- \* conveying training requests to programmers in thorough and detailed fashion;

- \* monitoring progress of academic participants while they are in training and, jointly with the Training Officer, review grade reports and requests for extensions;
- \* keeping in close contact with returned project participants and their colleagues to assist in design of follow-on training.

Office Chiefs whose projects have participant training components are responsible for ensuring that their Project Officers carry out, in coordination with the Training Unit, the procedures described in this Mission Order.

The Deputy Mission Director is responsible for ensuring that the HID Office carries out the procedures described in this Mission Order.