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**The Strategic Role of  
Human Capacity Development  
in USAID Bulgaria**

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A

## Acronyms

ABA/CEELI	American Bar Association/Central and Eastern Europe Legal Initiative
ACDI	Agricultural Cooperative Development International
ADS	Automated Directives System
AUBG	American University in Bulgaria
BAEF	Bulgaria American Enterprise Fund
BAFE	Bulgaria Association for Free Elections
CARESBAC	CARE in Bulgaria
CDC	Citizens Democracy Corps
CEE	Central and Eastern Europe
EMED	Entrepreneurs International
FTUI	Free Trade Union Institute
GOB	Government of Bulgaria
HCD	Human Capacity Development
HIID	Harvard Institute for International Development
IIE	Institute for International Education
IESC	International Executive Service Corps
ISC	Institute for Sustainable Communities
IRI	International Republican Institute
MTEE	Management Training and Economics Education
NBU	New Bulgarian University
NDI	National Democratic Institute
NGO	Non-governmental organization
PIET	Partners in International Education and Training
PTPE	Participant Training Program for Europe
PVO	Private voluntary organization
SEC	Securities and Exchange Commission
SMEs	Small and medium enterprises
TIP	Training Implementation Plan
USAID	U.S. Agency for International Development
USAID/B	USAID/Bulgaria
USAID/W	USAID/Washington
USDA	United States Department of Agriculture
USG	United States Government
VOCA	Volunteers in Overseas Cooperative Assistance

## Summary

This document is a conceptual framework for implementing training to achieve defined program results. It provides an integrated program framework for focusing all human capacity development activities (participant training, in-country training, technical assistance) on specified results for both planning and evaluation purposes. It provides a common basis for understanding the role of training in achieving the Mission program objectives and establishes guidelines for a cost-effective use of training mechanisms to achieve program results. Finally, it provides procedures for planning training for impact, allocating participant training funds among programs, and coordinating training in different programs through information sharing.

The USAID program seeks to assist Bulgarian institutions and society in the two areas in which they have had limited experience over the past two generations -- democratic governance and private sector development in a market economy. The primary human resource constraints to be addressed in this program are not technical--in fact the overall level of education and technical capability is good. The two critical areas of human capacity constraints are (1) attitude and familiarity with alternative approaches, and (2) managerial skills related to democratic institutions and market economies.

The results-oriented process requires that training be planned and implemented as a clearly defined component of an on-going program activity, usually being conducted by one or more grantees. The training context should be adequately developed to assure that appropriate preparation is conducted to enable the participant to take advantage of the training, to clearly identify training needs in relation to specified organizational results, and to provide adequate follow-on support to achieve those specific results.

Human capacity development is a fundamental element in the USAID/Bulgaria program. All of the activities are designed to achieve changes in individual or organizational behavior to achieve four strategic objectives. The majority of the program activities seek to establish a sustainable HCD capacity through institutional development or training of trainers programs. This HCD framework is intended to coordinate and focus all HCD activities (participant training, in-country training, technical assistance) to develop a cost effective mechanism for achieving specified program results. This orientation of **training for development results** will be achieved by focusing on concrete organizational changes, by facilitating sustainability by developing an indigenous training capacity through a training of trainers orientation, and by coordinating the different training modalities to use each mechanism to its best advantage. The result will be an integrated program focused on results in each of the four strategic objective areas.

The Mission focus on human capacity development will be implemented through a common approach in all strategic objectives. The four major elements of this approach are:

1. Encourage training of trainers and development of local organizational training capacity for sustainability.

2. All HCD activities are planned and implemented within a common conceptual framework on the use of training to achieve strategic objectives.
3. All HCD activities (participant training, in-country training, and technical assistance) will be directed and coordinated to achieve defined organizational or institutional results. Programs will use a common framework for planning training to achieve results and training resources will be directed to programs with well defined needs and strategy.
4. The Mission will serve as a clearinghouse for information on project training activities to encourage linkages and coordination among programs for greater cost-effectiveness.

## **A. Overview**

### **1. Introduction**

Human capacity development (HCD) is part of an overall USAID/Bulgaria program effort to increase the impact of mission activities and accomplish the strategic objectives. The purpose of the HCD framework is to establish a Mission-wide perspective on strategies for identifying and addressing critical human resource constraints. This document establishes procedures and guidelines for integrating training into the strategic objective framework. As one element of the overall Mission strategy, the HCD planning framework will be incorporated in the Mission Strategy Statement in the future.

This document is not a programmatic strategy, because human resource development is not a program strategic objective. However, human capacity development is the primary tool used in all programs to achieve the programmatic objectives. Therefore, this is an implementation document for achieving more effective use of training resources in support of the established strategic objectives. It is a conceptual and operational framework for planning, implementing, and evaluating training and educational activities in the context of strategic objectives. In particular, it seeks to strengthen linkages between training and technical assistance by explicitly recognizing the individual, organizational, and institutional behavior changes needed to achieve the objectives and then coordinating the HCD tools to achieve the desired results.

The document is neither a needs assessment or determination of training priorities. The function of identifying specific training needs and opportunities in Mission program areas is necessarily a continuing activity best performed by Bulgarian program partners working with in-country technical advisors. One-time needs assessments performed by outside experts inevitably are superficial, lacking clear relationship to organizational objectives, and are usually obsolete soon after completion. Training needs assessments are integral parts of project design and implementation rather than elements of a strategic framework for training. This strategy statement emphasizes the importance of fully integrating training with the results framework -- which requires flexible, locally defined training needs in the context of program objectives.

This document uses the framework of the key USAID policies and strategies. The key factors are:

- USAID/Bulgaria Strategic Objectives
- USAID Core Values
- USAID/Bulgaria Principles
- USAID Policy

### **2. USAID/Bulgaria Strategic Objectives**

USAID Bulgaria has two major program sub-goals covering four strategic objectives. These are:

**Program Sub-goal 1. Support for the transition to transparent and accountable governance and the empowerment of citizens through democratic processes, acceptance of democratic values, and full support for human rights.**

**Strategic Objective 1.** Strengthen local government to make it effective, responsible, and accountable to its local citizens.

**Strategic Objective 2.** Promote active participation of Bulgarians and NGOs in political and economic decision making.

**Program Sub-goal 2. Foster emergence of a competitive, market based economy in which the majority of economic resources are privately owned and managed.**

**Strategic Objective 3.** Establish legal, policy, and regulatory framework conducive to broad-based competition and private sector growth.

**Strategic Objective 4.** Stimulate development of private sector enterprise.

### 3. USAID Policy Framework

The USAID/B HCD Strategy and training management system must apply all relevant Agency and Mission policies and principles. The primary policies affecting program implementation are:

USAID Core Values	USAID/B Assistance Principles	USAID Policy ADS 253
Focus on the Customer	Serve as a catalyst for development, and not as a resource transfer agent.	Training policy and strategies link all training to strategic objectives with defined results.
Teamwork and participation	Promote development of successful models at the local level that are sustainable and replicable	Training management is accountable, effective, efficient, and complies with USG regulations.
Manage for results	Assure that institutional framework or process is established to facilitate replication.	USAID has a single training management system.
Empowerment and accountability	Move to other areas when these principles are satisfied.	USAID has a single contracting entity to program and process all participants.
	Ensure that better information on solutions flows to the central government to encourage broad replication of development models.	Training programs are based on a training agreement with specific objectives.

The policies listed above represent a coherent and mutually reinforcing set of values at the Agency, Mission, project, and training activity level. The key elements throughout are

empowerment, sustainability, and mutual partnership with contractors and beneficiaries. The application of these values at all levels is a central tenet of the USAID/Bulgaria approach to human capacity development.

#### 4. Training as a Development Input

The analyses and recommendations in this document are based on a fundamental philosophy of the role that training can and should play in development. These are:

- The function of USAID activities is to encourage changes in behavior at the institutional, organizational, or individual level to achieve specified goals. These changes in behavior may come about through attitudinal change, acquisition of new skills, exposure to new ideas, enthusiasm and confidence, new organizational incentives through policies or structure, or other changes.
- USAID has a range of interventions available to achieve these changes, including technical assistance, training, education, and material/financial support. An effective intervention must coordinate all of these resources and focus on specific, well-defined results.
- Technical assistance is often an extended HRD function, using on-the-job training techniques through a consultancy to affect organizational change and individual growth and development.
- Training is only one part of a broader program designed to achieve specified objectives. Training will seldom be the definitive input for development or change. None of the current key objectives of the mission has a pure training solution. Therefore, training must be fully integrated into other program and project activities (policy dialogue, technical assistance, financial support).
- Training activities do not have separate program objectives; they are tools to achieve objectives. Training must be planned, implemented, and evaluated in the context of program objectives and specified results. Impact of training is necessarily defined in terms of results. However, training activities also have intermediate pedagogical training objectives--the anticipated result of the training activity in terms of knowledge or skills or attitudes acquired, and final training goals or outcomes--the application of the new knowledge after return.
- Specificity is critical to effective implementation and meaningful evaluation. Anticipated outcomes must be clearly defined and planned for. General terms and concepts such as *impact* and *linkage* are more useful as a statement of intent than as a description of objectives. Expected results for monitoring purposes should include project level (results package) goals as well as objectives for the training activity itself.

- Expected results should reflect an formal agreement among all stakeholders (participant, employer, technical advisors, USAID, PIET, and training provider). Expectations should be spelled out in concrete terms.

## 5. HCD in the USAID/Bulgaria Program

Human capacity development is not a designated program objective for USAID/B. However, it has been the primary development assistance mechanism in all projects since before USAID was formally established. Overall, the USAID/B program has provided some form of training to tens of thousands of Bulgarians since 1991.

The HCD activities in Bulgaria have two facets. One is the long-term focus on institutional development of sustainable organizations that are capable of producing well educated and trained individuals. The long-term institutional development activities include the American University of Bulgaria (AUBG) and the Management Training and Economics Education (MTEE) program.

The **American University in Bulgaria** program was one of the first major USAID program elements, established in 1991. AUBG offers a full undergraduate course of study in collaboration with several American universities and American faculty. The first class of AUBG students graduated this year, beginning a steady flow of young people moving into the society with business and management skills and a knowledge of Western attitudes.

The **Management Training and Economics Education (MTEE)** program through the University of Delaware has been operating since 1991. The program has conducted training of trainers and faculty in several universities, academic programs and workshops for students, government officials, business managers, and others as well as maintaining a business resource center. The program has served 36,634 trainees in one capacity or another in this period. The current grant proposal is to establish a sustainable business development center offering a range of management training services.

The other facet of the HCD activities in Bulgaria includes the short and medium-term programs that strengthen key individuals in cooperating Bulgarian organizations through participant training, in-country training, and resident technical advisors. The short-term training is largely implemented by grantees working in Bulgaria. In addition to the grantee activities, the centrally funded and managed Participant Training Program for Europe (PTPE) has been the primary mechanism for participant training since 1993. The Mission has been an enthusiastic consumer of these services, requesting and receiving additional training opportunities each year. The core program, managed by an in-country PIET office, has trained 234 participants in the U.S. in this period. The majority of these participants were nominated by in-country grantees or other USG assistance groups such as the Peace Corps. Significant numbers of individuals have been trained in agribusiness, municipal governance, tax administration, banking, tax law, NGO management, human rights, free elections, and trade union administration, as well as other fields. The PTPE program also included a number of regionally financed grant programs that provided training in

Bulgaria. These included long term academic training administered by USIA and Master's level training administered by the Institute for International Education (IIE), as well as short term technical training activities in housing (Home Builders Institute) and business management (Soros, Johns Hopkins, Council for International Programs). The EMED (Entrepreneurs International) program has provided technical training, internships, and observational tours to a wide range of businesspeople in a wide range of industries, from real estate to manufacturing. The program trained 65 individuals in 1994 and 1995.

Virtually all of the grantees have conducted either direct or indirect training, particularly through in-country seminars and on-the-job training provided by technical advisors. Some grantees, such as ACIDI and Land o' Lakes, provide a full range of U.S. training, in-country training, and technical assistance in agribusiness development. Many grant programs also emphasize a training of trainers approach to develop local training capacity for sustainable impact. The Free Trade Union Institute (FTUI) has developed a network of 15 full-time trainers who train over 6,000 people each year in leadership, union management, and community development. The Environmental Management Training Program has conducted U.S. training of trainers and substantial numbers of in-country workshops and academic programs over a three year period. These and other programs establish a solid foundation for sustainable human capacity development in Bulgaria.

## **B. Human Capacity Development in Bulgaria**

Human capacity development supports program activities by infusing new ideas, enthusiasm, understanding of key market or democratic processes, and by providing focused training activities to develop critical personal and organizational skills. The purpose of this document is 1) to provide a common framework for understanding the role of HCD in the Mission portfolio and 2) to establish procedures for directing program-wide training resources (PIET, MTEE) in the most effective manner.

### **1. HCD Constraints to Development**

The USAID program seeks to assist Bulgarian institutions and society in the two areas in which they have had limited experience over the past two generations -- democratic governance and private sector development in a market economy. The primary human resource constraints to be addressed in this program are not technical--in fact the overall level of education and technical capability is good. The two critical areas of human capacity constraints are (1) attitudinal and familiarity with alternative approaches, and (2) managerial skills related to democratic institutions and market economies.

The attitudinal constraints reflect a pervasive unfamiliarity with the skills, attitudes, and behaviors that affect the processes of democratic institutions and private enterprise. Two generations of functioning in a society with distinctive incentive structures have created a fundamentally different set of attitudes and behaviors than those in Western countries. These attitudes are perhaps more deeply ingrained in Bulgaria than in many other countries due to its isolation and unqualified acceptance of the Soviet approach. The impact of a lifetime of experience is compounded by what some Bulgarians describe as a cultural trait of deep skepticism about different ways of doing things. This Central and Eastern European equivalent to the Missouri "show me" attitude strengthens the barriers against foreign ideas. It may take generations to fully establish new ways of looking at problems.

At the managerial level, the constraints of management skills and experience are equally important. The society simply has no experience in applying democratic concepts of organizing and lobbying for change, or the public relations aspects of officeholders being responsive to constituents. Managers of enterprises are unfamiliar with the discipline of the marketplace and the organizational, financial, and marketing skills necessary for success. Decades of living under a command economy created fundamentally different skills than those created by living in a consumer oriented, competitive marketplace.

These two elements of human capacity constraints must be addressed together. Skill training without the attitudinal adjustment is a significant uphill battle. Exposure to new ideas without the follow-on support to develop skills and structures to implement them is also unlikely to achieve significant impact.

Numerous external constraints exist to achievement of the USAID program objectives in each area: regulatory structure, financial markets, election financing, legal foundations for commercial transactions, public perceptions, and many others. Some of these constraints are being addressed by program activities that also include training and technical assistance activities. Individual collaborating organizations or firms may also face additional constraints of financing, equipment, or other non-HCD factors. However, the critical factors in dealing with each of these constraints and for effectively managing available resources is the same in every area -- the capacity of the individuals involved. Thus, while HCD is not a Mission strategic objective, it is the foundation and core activity for each of the programs.

## 2. HCD Resources in USAID/B

USAID/B has numerous mechanisms available to address the human capacity issues in Bulgaria. These are a) participant training in the U.S. and third countries, b) in-country technical and managerial training, c) on-the-job training provided by in-country and short-term technical advisors and d) educational institution development in Bulgaria

*a. Participant Training:* Participant training in the U.S., and in third countries is available to the Mission through the centrally funded PTPE program and is included as a funded activity in some program grants. The training under the PTPE program is primarily limited to very short-term technical training (2-4 weeks). This type of short-term training has proven to be effective in addressing one of the critical issues -- the perception of possibilities. Evaluation results and grantee experience show that this type of experience is uniquely capable of challenging deeply held beliefs, illustrating new possibilities, generating confidence and enthusiasm for change, and providing a concrete image of how things are done in other countries. This can be very effective in validating the advice of in-country advisors.

Short-term participant training has generally been less effective in transferring specific skills. Training needs can seldom be so precisely defined that a short training period can effectively transfer concrete skills, particularly as the goal of broadening the participant's horizons must also be accomplished. The intended results of training have often not been clearly identified. Therefore, many of the training courses have been survey-type courses designed to identify the broad range of issues affecting a particular area.

The EMED program for entrepreneurs has a somewhat different function and different results. The program combines technical training with on-the-job training, internships, and observational tours with businessmen in the same industry to discuss practical solutions to common problems. This program is targeted to specific businesses and as such has a high degree of immediate relevance. One of the outcomes from this type of program is the development of business contacts -- the lifeblood of successful business.

It should be stressed that participant training does not have a comparative advantage in achieving a transfer of knowledge or technical skills, although this is always part of the program. The true comparative advantage of participant training is in the experience itself -- of travel, of touching

and seeing new approaches, of bonding with a group, of having the "ah ha" moment of understanding what a technical advisor has been saying. It is this intangible aspect of experiencing a moment that makes participant training a uniquely important part of the overall human capacity development strategy. This can achieve in a moment what it would take a technical advisor a year to accomplish.

**b. *In-country Training Programs:*** In-country training programs are particularly effective in providing mass training in specific skills, customized training to meet local needs, and follow-on or sequential training to fully support new skills. There are numerous sources for in-country training activities. Most of the grant programs have some element of in-country training activities, implemented either by U.S. experts or Bulgarian experts. In addition, there are several programs specifically designed to provide specialized in-country training. The University of Delaware MTEE program provides mass training and education in business and economics through local universities and through an outreach program. The Free Trade Union Institute has developed a full-time corps of trainers. A new program in public administration is intended to provide extensive training in public management and administration.

**c. *In-country Technical Assistance:*** All of the grantees provide either long term or short term technical advisors in their program areas. These technical advisors work closely with counterparts and partners to provide training on many levels, including courses, seminars, and primarily on-the-job training with key individuals. The training provided by technical advisors is most effective in facilitating direct changes in operations because it is continuous and directly relevant to the situation in Bulgaria. This direct consulting is often most effective when working with counterparts who have attended training programs in the U.S., or have otherwise been exposed to new ideas. This experience can often validate the foreign views of expatriate advisors.

**d. *Institutional Educational Programs:*** In addition to the activities designed for short-term impact on program objectives, USAID/B is also addressing the long term needs for a continuing flow of young people prepared for work in a democratic society with market economic policies. The primary mechanism for achieving this is the long term investment in the American University of Bulgaria (AUBG). This program has graduated its first full class and is actively seeking opportunities to expand into new areas, including outreach education and joint programs with existing Bulgarian universities. The AUBG contribution to achievement of both of the major program subgoals is crucial, but necessarily long term and indirect. It provides the raw material for national development. There are programmatic linkages such as developing internship programs for AUBG students to assist in programs. However, these activities should not distract AUBG from its primary goal of establishing a sustainable university.

AUBG is currently developing two new programs that will provide indirect support for the USAID strategic objectives. One proposal is for a small business incubator program that will encourage the development of a technology industry in Bulgaria. The other proposal, which is still under analysis and development, is for an outreach program. The university is completing market analysis and feasibility studies. From the perspective of the USAID objectives, this program space is an indirect resource that will be designed and implemented on the basis of

market feasibility rather than USAID objectives. Therefore, it will be supportive of the broad goals, but will not necessarily be directly responsive to the USAID fields of emphasis.

Long term institutional strengthening activities are also included in the Small Business Development Center activity with the University of Delaware and in the new contract with Chemonics to establish an institute for public administration training. These programs will establish self-sustainable capability to respond to specific technical and management training needs for adult education and professional enhancement.

### 3. USAID/B Training for Development Results

The strategic and effective use of all of the HCD resources available to USAID/B is critical to achieving the ambitious program objectives in Bulgaria. The Mission will use the different training tools in a coordinated and cost-effective manner to achieve specific, well-defined results. This will be achieved in three ways.

First, the training objectives are explicitly focused on the concrete organizational changes and targets established in the Results Framework for Bulgaria and in the individual project designs. All training, whether conducted by PIET or by a grantee, will be planned and evaluated in these terms. This represents a significant departure from the general sector training conducted in many countries.

Second, programs will seek to develop indigenous training capacity through an emphasis on training of trainers whenever possible. Most of the programs have been emphasizing training of trainers for several years. The work in judicial training, trade union development, democracy networks, tax administration, election monitoring, environmental management, economics, and agribusiness development have all begun strengthening local training capacity. The new programs in municipal administration training, small business development training, consultancies, and bankruptcy will expand and extend these efforts.

Third, each HCD tool will be chosen when it can most likely produce the required results and will have a designated **primary function** in the program. The purpose of clarifying the use of different training methods is to refine training strategies, to establish reasonable and realistic expectations for the results of different types of training, and to better coordinate the different training in order to achieve defined objectives. The purposes of training modalities are:

The primary function of **participant training** in the U.S. and third countries will be to illustrate new approaches, develop new attitudes, and broaden the perspectives of key individuals in each sector. It will enable the participants to see what the system could look like. The expected impact of this training will be to invest key leaders and managers with a broader understanding of what must be done in his or her organization to improve its functions. These participants are expected to identify and prioritize changes they wish to make and to be more effective in specifying their needs for assistance.

The primary function of **in-country training** courses and seminars is to provide mass training in key skills in support of program goals in democracy and economic development. While the training programs can also be targeted to individual organizations and firms being assisted, the focus of in-country training should be broad enough to reach beyond the immediate recipients of intensive assistance. All in-country training activities, whether a U.S. lecturer giving special presentations or a workshop series, should be coordinated with technical assistance and planned to achieve program goals.

The primary function of **technical assistance** is to provide hands-on assistance to key partners and to identify the needs and opportunities for the effective use of in-country and participant training. The technical advisors have the primary responsibility for achieving specific results and in organizing and coordinating support training services to achieve them. The technical advisors are responsible for preparatory planning and for follow-on support to assure that the training has maximum impact.

The primary function of **educational institution development** programs (e.g. AUBG, MTEE) is to establish sustainable institutions capable of producing high quality graduates. While the program may develop linkages with other USAID grantees through internships and hiring graduates, the primary objective is long term institutional development.

None of these HCD mechanisms can achieve change by itself, but a coordinated effort can be effective in facilitating organizational and personal change. In some cases, the program managers will determine that skill needs can be adequately specified to use U.S. training to develop skills. The driving rationale behind any particular training activity should be its effectiveness in achieving the program results. In virtually all cases, the primary technical advisors or advisory committee should be responsible for determining the most effective use of training and specifying the anticipated outcome of the training.

Training is ideally part of a sequential process of implementing organizational change. This may take the form of technical advice followed by training, or sequential training activities with slightly different focus for top managers (decision makers), middle managers/supervisors, technical experts, and co-workers. Most organizational change will affect relationships, responsibilities, roles, and skill requirements on a number of levels. An effective training program for organizational change will recognize and respond to the different needs for information and skills at different levels of the organization. Top managers only need to support and approve the idea. Operational managers and supervisors need to understand the changes and how they affect the jobs, responsibilities, and work relationships of employees. At some level, an individual or group will require technical expertise in a function. All levels, including co-workers and subordinates, must understand how the new function affects them and their responsibilities.

This understanding of organizational dynamics is an important aspect of developing a critical mass, which is essential in affecting change at an organizational level. A critical mass may simply be a large enough proportion of the group to enable change, or it may be a strategic vertical or horizontal slice of individuals in key positions who must support the change.

Understanding these relationships is part of the function of the technical advisors in developing a strategy for change, and for effectively using training resources.

A simplified scenario for effective, coordinated use of training starts with developing an organizational vision at the top management level and then using increasingly specific training and technical assistance to implement that vision. An example in municipal development might be:

The long term technical advisors working with target municipalities have spent several months developing relationships and helping key managers focus on a dozen critical functions of local government. Once this ground work is established, the key decision makers (mayor, deputy, council member, possibly several from a given locality) go on a 3 week training session that highlights these functions through multiple meetings with US mayors with similar problems. The purpose of the trip is not to develop implementation skills, but rather to develop insights about setting priorities and creating mechanisms to solve critical problems. This first step seeks management commitment to and understanding of organizational change.

Upon return, each mayor develops priorities and strategies for his/her own municipality which hopefully validates the technical consultants and makes them more effective advisors in designing an appropriate plan of action. Each municipal strategy is then implemented through a combination of OJT, technical assistance, workshops, in-country training, and financial support through grants. Some mayors will identify high priority activities for which they lack available expertise (e.g. waste management, tourism development, industrial park development). Key staff members are then provided with targeted technical training to develop the skills to implement the strategy.

The results of the sequential, coordinated training and technical assistance efforts in this example are specific municipal activities that are indicators of increased effectiveness, efficiency, and accountability to the citizenry. The example is an idealized version of a program specific strategy that illustrates the integrated usage of training activities. The initial technical advice and U.S. training empowers the key decision makers to better understand options and determine priorities. The follow-on support implements a joint program. Both training and technical assistance are directly targeted at specific activities at the organizational level. Each step is needed for success - and none can be successful alone. In order to be effective, the general training resources such as the PTPE, EMED, and MTEE programs must be implemented within this kind of framework.

#### **4. HCD Issues and Resources by Strategic Objective**

The USAID/B program has numerous mechanisms and resources for training and technical assistance. Some of the mechanisms may overlap and opportunities exist for mutually reinforcing programs. Some programs lack direct access to participant training resources other than PTPE. The following section assesses the HCD resources and issues in each strategic objective area in order to assess the most effective use of PTPE resources. A detailed matrix of

objectives and HCD issues is attached as Appendix 3.

<b>Strategic Objective #1:</b>	<b>Strengthen local government to make it effective, responsible, and accountable to local citizens.</b>
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SO #1 is being implemented through the Municipal Development Strategy which addresses four critical constraints to local government effectiveness: weak delegation of authority from the central government; no effective mechanism for local government representation at the national level; inadequate authority and resources at the local government level to meet their responsibilities; and lack of local government understanding of their role as facilitators of economic growth through public/private sector partnerships.

The municipal strategy focuses on capacity-building assistance to ten demonstration cities, with broad support activities designed to strengthen local government associations, reform central government decentralization policies, develop the capacity for providing continuing education and training for municipalities, and provide economic development assistance to local governments.

The Municipal Development Strategy establishes relatively specific project impacts for each of the areas of intervention. These impact measures address the role of associations, efficiency and responsiveness of local governments, development of an in-service training capacity, local economic development programs, and national intergovernmental policy. These identified impacts establish a reasonable basis for program planning.

Human capacity development is a critical element in achieving this objective. The fundamental challenge is to encourage, support, and strengthen reformist democratic elements at the local government level. This requires both the development of a vision and understanding of possibilities, and the development of concrete management skills in accounting, citizen relations, tax administration, service delivery, and development of a vibrant local economy through municipal privatization. It also requires the development of a sustainable indigenous capacity for in-service training of municipal officials.

Strengthening the human capacity at the municipal level is not sufficient to achieve all of the goals. Indeed, the major policy and structural constraints to effective municipal development can only be addressed by significant changes in the inter-governmental allocation of power and resources. Mission activities in association building and policy dialogue can help achieve these changes by strengthening the capability of local leaders to advocate change.

The programs working in this sector include the Urban Institute (municipal development and housing), South Carolina (local associations), Chemonics (public administration training), and HIID (environmental policy and financial mechanisms), all of which have long term technical advisors in country. With the exception of the South Carolina grant, these programs also have resources available for training in the U.S., regional training, and in-country training conducted by either local or U.S. experts. The exact amount of funding available for participant training in the Urban Institute contract and the Chemonics contract were not known by the local project

director as these contracts are under final negotiation. The training plans and the mix of U.S., third country, and in-country training activities required to achieve the objectives had not been finalized. The Chemonics contract, which is a major element in the Local Government Initiative, had not yet started at the time of this report. The implementation plan for all activities will be worked out over the next several months as the impact of the local election results becomes clear. Preliminary plans are that a contingent of officials from the target municipalities will travel to the U.S. in the spring and several trips will be made to neighboring central and eastern European countries. All of the contractors involved in this Strategic Objective will be conducting in-country seminars and workshops as well as direct advisory services to strengthen their counterparts.

Overall, the resources available to address the human capacity development needs to achieve the Municipal Development Strategy appear to be sufficient. There are no substantial gaps that have been identified. The PTPE and the MTEE programs are potential supplementary sources for training activities should additional needs appear, but the existing programs appear to be adequate for most of the activities. PTPE resources may be required to provide U.S. or regional training for the local association strengthening activity. This will be clear when the implementation and training plans for the activities are completed.

<b>Strategic Objective #2:</b>	<b>Promote active participation of Bulgarians and NGOs in political and economic decision making.</b>
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This Strategic Objective is implemented through a number of grant activities designed to strengthen political participation and the effectiveness of NGOs and associations. There is not yet an overall strategy statement similar to the municipal development strategy for this objective, but rather a number of activities focused on key organizations to achieve broad based participation.

The core problem identified in the Country Strategy Framework for this strategic objective is public inertia and apathy at the local level. In part this reflects lack of experience and lack of perceived opportunities for effective participation at this level. Therefore, the program activities affecting this strategic objective seek to encourage public participation and the development of leaders and democratic institutions at the local level. This is fundamentally an issue of human capacity development in terms of vision as well as core skills of organizing, managing non-profit local organizations, and promotion of local activism as a solution to local problems.

The American University of Bulgaria (AUBG) program addresses these problems with long-term leadership development through an undergraduate academic program with American courses and faculty. This prepares well qualified and committed students for a successful life in a free market democracy. Starting with the first graduating class last year, AUBG will inject a steady stream of well-educated young people into society. AUBG also provides opportunities for student internships in other USAID supported program activities.

The other major programs dealing with local participation issues include the Democracy Network (NGO development), ABA/CEELI (rule of law), and NDI and IRI (free elections and

political parties). Of these programs, only the Democracy Network (ISC) activity has a substantial training budget that allows significant amounts of U.S. or third country training. All of the programs have substantial in-country technical advisory resources and in-country training activities. Virtually all of these programs have a strategy of developing local training capacity to achieve sustainability.

The NDI and IRI programs have full-time in-country staffs who regularly provide training and consulting to their counterparts in volunteer organizational management, election strategies, financial management, and other relevant topics. They are able to bring U.S. experts to Bulgaria for training. Both programs are dependent on PTPE resources for U.S. and third country training. NDI has sent two groups of the local election club members to the U.S. for training and will send representatives of the remaining clubs in 1996 using PTPE resources to complete the process. This U.S. experience has proven to be highly effective in motivating local leaders and in developing organizational skills. The IRI program will send carefully selected politicians or campaign managers to the U.S. to learn about presidential election campaigns.

The ABA/CEELI program is oriented toward “training of Bulgarian trainers” in both substantive issues and in the methodology of adult learning. Three such programs have been completed in Bulgaria through the IDLI contract and ABA/CEELI has continued this effort using the resident technical advisors and volunteer training from the ABA. Training in support of judicial reform is being supported by training the law faculty at NBU in adult learning methodologies and in practical aspects of curriculum development. While this program has sent judges to the U.S. for training, they have found in-country training and third country training to be more effective and will emphasize this in the future.

The PTPE program can be an important resource for this strategic objective to support the programs without other training resources. The NGO sector is able to benefit from one-time training activities more than most organizations because of the relatively small size and simple management structure. NGOs can often effectively use relatively simple new ideas or draw on new professional contacts. Providing training opportunities to individual NGOs enables USAID/B to explore new opportunities for program activities for a relatively small initial investment.

<b>Strategic Objective #3</b>	<b>Establish legal, policy, and regulatory framework conducive to broad based competition and private sector growth.</b>
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The macro policy and legal frameworks necessary for development are being addressed through the development of bankruptcy and collateral laws and procedures, strengthening judges’ understanding of commercial law, fiscal reform and tax modernization, capital markets, and energy pricing policy. While no overarching strategy has yet been developed for this Strategic Objective, each of the areas of focus has been identified as a critical constraint to developing a competitive private sector. The bulk of the assistance in these areas is implemented through high level technical assistance in drafting laws and procedures and in promoting a consensus of political will for substantive reform in these difficult areas. Once substantive progress has been made in gaining acceptance and initiating these reforms, substantive mass training may be

required to implement them.

The tax modernization program being implemented through a Treasury Department advisor in the Ministry of Finance has benefitted from significant amounts of participant training in recent years. The most recent group of trainees will form the nucleus of an in-house training capability in the ministry. While this program is winding down, the current advisor may recommend a final training activity. This program has no resources other than local advisors to implement programs. The legal reform program also has no resources for overseas training, but will largely be implemented by in-country advisors and in-country training, and is not likely to require PTPE resources for U.S. training.

Capital market development is a new area of involvement for USAID. USAID has provided some support to date for the development of a regulatory framework for security markets, similar to the Securities and Exchange Commission in the U.S. Three individuals will attend SEC training under the PTPE program in anticipation of being named to a commission to establish this regulatory mechanism in Bulgaria. If USAID determines that this program is likely to move forward with adequate GOB support, a multi-year training and assistance program may be implemented. U.S. and third country training would be an important element in developing this type of regulatory framework in Bulgaria.

The development of the financial sector is an area in which the USAID will be increasingly involved. ABA/CEELI currently has a grant for the development and training of trustees, which will involve in-country courses and seminars implemented with a training of trainers orientation. A future program will address the needs for bank restructuring and will require substantial amounts of both in-country and U.S. training. The scale and nature of the training activities will be determined as part of the program design.

The other major area of regulatory reform is in the development of bankruptcy law and collateral law through ABA/CEELI, Deloitte Touche, and IRIS. These programs are primarily providing technical assistance in drafting and implementing new laws to bring Bulgaria up to international standards in these areas. Training is provided in the principles and procedures of bankruptcy and collateral law. The training is primarily in-country seminars and training of trainers to develop familiarity with the concepts and application of the laws by both judges and lawyers. Some third country training may be included to review the experiences in neighboring countries. The programs have funding for such training and are not planning to require access to PTPE or MTEE resources.

Reform of the energy sector at both the policy level (energy pricing) and power station management level has also been a major area of USAID involvement. The focus to date has been on providing technical assistance for tariff, legal, and regulatory reform. The program has involved both in-country training and U.S. based training as well as utility partnerships for utility management skills. The training has been funded directly from the energy grants and has not drawn on PTPE resources. The emphasis in this area will be increasingly focused on private sector growth and competition through private sector power generation as the work in regulatory reform winds down. As the focus on private sector energy growth is better developed over the

next year, the training needs should be reviewed.

Training will be an essential part of any successful effort in establishing effective regulatory mechanisms in Bulgaria--both for developing a vision and for the extensive training in management and procedures that implementing such efforts will require. Success in each of these areas is dependent on a well articulated training strategy focused on specific organizational objectives. Development of an organizational base for market regulation will be planned as a multi-year effort combining technical assistance and training to achieve the defined objectives. The lessons learned from the Treasury project are that U.S. training can be very effective in energizing political will and in validating the proposals of in-country advisors, but that resources and plans must be adequate to follow through with clearly defined activities. The program for bank restructuring will require a similar pattern of developing a vision and consensus through technical assistance and U.S. training, supported by in-country training activities to assist the participating banks with the specific skills and systems needed by each organization. At the stage of implementation, the generic sector training must be replaced by training strategies focused on specific organizational development objectives.

<b>Strategic Objective #4</b>	<b>Stimulate development of private sector enterprise.</b>
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The strategic framework for implementing the SO #4 is the Strategy for Small and Medium Enterprise Development in Bulgaria (in draft). This strategy emphasizes a coordinated firm-level assistance program supported by policy dialogue, public awareness, and strengthening local government and NGO support for SMEs. HCD is a critical factor in the achievement of this strategic objective because of the limited experience with basic business skills in Bulgaria. The major investment programs in BAEF and CARESBAC are highly dependent on the business skills of investment partners.

The mission has numerous programs working in this area, virtually all of which offer technical assistance and some form of in-country training. Short-term volunteer assistance and training is available from IESC, CDC, and VOCA/ACDI. Long- and short-term advisors are available from Land o' Lakes. U.S. training programs are available from ACIDI, Land o' Lakes, EMED, BAEF, and USDA (Cochrane program). The University of Delaware/NBU Business Development Center offers in-country courses and short-term advisors/lecturers. In combination with the EMED programs in the U.S., the resources available for training in this sector are generally adequate. The exact level of funding for the VOCA/ACDI grant is still uncertain, which will affect the number of agribusiness industries and the intensity of effort that it is working in.

The SME strategy has introduced a number of changes in the implementation procedures and focus in this sector. The program is currently being implemented through a joint Steering Committee to provide coordinated assistance to promising firms in selected sectors. The purpose of the Steering Committee is to coordinate the use of technical assistance and training from all different sources to meet the specific needs of the client firm. While each firm will necessarily have somewhat unique needs, the range of training and technical advisory resources is adequate to address a wide range of training needs.

A new program element will be strengthening business support services, including the development of skilled business consultants. The approach for achieving this is still being developed, but is likely to include participant training activities through PTPE or EMED as well as in-country training. However, the skills of an effective consultant are not developed through training, but rather through experience. Therefore, a central tenet of the consultant strengthening activity will be that all participating consultants will be involved in providing services to the SME client firms as well as receiving training. Therefore, the preparation and follow-on for the consultant development training will be through participating in the technical assistance activities.

Overall, the availability of training services is adequate and well balanced between participant training, in-country training, and local technical advisors. The MTEE program conducted by the University of Delaware will provide mass training in practical business management skills as well as targeted and customized training in support of individual firms. The mass training will assist small business owners in developing business plans, getting and using credit, managing personnel and inventory, and similar basic business skills. This training will be conducted on a priority basis in the ten demonstration municipality regions and in other regions in response to demand. The issues, constraints, and training activities for each strategic objective is displayed in the USAID/B HCD Matrix (Appendix 3.)

## **C. Implementing HCD Activity in Bulgaria**

The implementation mechanism is crucial in successfully applying the principles and policies of an HCD strategy. Each major actor -- the participant (trainee), technical advisors, employers, USAID, the in-country contractor, and training provider -- has a clear and mutually supportive role to play. All of them must be directed toward empowering programs to achieve well-defined results. The importance of managing for results, rather than managing the process, cannot be overemphasized. Important roles in this implementation framework are assigned to the in-country technical advisors who must coordinate training resources to achieve results, and to the in-country participant programming contractor, whose job it is to assure that all training programs reflect consistently high standards of planning and implementation. The in-country training contractor is a core professional resource for USAID and grantees in developing organizational training plans. It is not the job of the in-country contractor to develop new programs, establish objectives, or propose new directions based on candidate recruitment. Rather, the contractor will work with all grantees and participants to assure consistently high quality programs to achieve existing program objectives.

This section primarily applies to the use of PTPE training funds and the allocation of available training slots among competing uses. Through this approach, USAID/B will assure that PTPE training resources are used in the most effective manner to support the strategic objectives. The general procedures for planning, developing training agreements, and defining goals should apply to all programs, including those with grant resources for training.

### **1. General Philosophy**

Training is to be planned and implemented as a clearly defined component of an on-going program activity, usually being conducted by one or more grantees. The training context should be adequately developed to assure that appropriate preparation is conducted to enable the participant to take advantage of the training, to clearly identify training needs in relation to specified organizational results, and to provide adequate follow-on support to achieve those specific results.

### **2. Setting Training Objectives and Priorities**

The overall objective of training is to directly contribute to accomplishing the Mission program outcomes and therefore Mission strategic objectives. To the extent that these outcomes are clearly defined in terms of specific results, the training can be well focused. The challenge for the training program is to clearly relate the activities and objectives of individual training activities to the broader Mission objectives.

The allocation of general participant training resources must be managed in such a way as to clearly contribute to the broader program objectives. This is a central challenge to program

management that is often not adequately addressed. The criteria for establishing priority training activities are relatively vague in many missions. Participants may be nominated as individuals and judged by whether they fall into a category of U.S. assistance. If the training is judged to be useful and appropriate to their job, the nomination is approved and a training program is designed to meet the interests of the participant. Such training is seldom planned in coordination with either an employer or in the context of an on-going development project. Moreover, the training contributes to the USAID objectives only in the most general way as a member of a targeted category (private sector, public administration, etc.) In other programs, training opportunities are allocated proportionately to all U.S. assistance groups, USAID offices, or USG Mission components (Peace Corps, USIA, Embassy political section, etc.). In others, opportunities are rotated--groups that receive training in one year are deemed to have "had their turn" and are skipped the next year.

The common factor in these allocation systems is that they are not directly linked to specific program objectives or defined results. This isolation from defined results frequently limits the amount and focus of follow-on support, and makes impact assessment particularly difficult to measure.

USAID/Bulgaria wishes to allocate training resources based on contribution to program objectives and achievement of specific results. Given the nature of the program and the diversity of grant programs, USAID/B has determined that the most effective allocation mechanism will be a merit based system to prioritize and distribute training resources. The USAID will not use *a priori* determinations of which groups are allowed to request training, nor will it share training activities in an *equitable* basis. Instead, USAID will award training based on proposals that clearly define results, and show how the training will combine with previous or follow-on assistance activities to accomplish a given objective.

USAID/B will give priority to training proposals from existing grantees which clearly show how the training will coordinate with other activities (technical assistance, financial assistance, in-country training) to contribute in a concrete way to achieving defined program objectives and ultimately to mission SOs. The application of this kind of merit based priority system applies a discipline to the process through clearly placing training activities in a context of coordinated activities focused on clearly defined, Mission approved results. A minimum of 75% of PTP training opportunities will be awarded in support of existing programs. All training proposals will use a common format (shown below) and will be judged against a common set of selection criteria.

## Format for Training Proposal Presentation:

1. Name of Grantee:
2. Program Impact and Objectives : State the anticipated results of your program activities. What specific changes in individual or organizational behavior and capabilities do you anticipate achieving as a result of your program?
3. Role of training in achieving program impact: How will training activities will contribute to the program goals? Provide an overview of the goals and scope of the anticipated training program:
  - in-country training;
  - U.S. training; and,
  - third country training.
4. Proposed participant training activity:
  - Specific outcome of the training activity;
  - Specific learning objective for the participant(s);
  - Number of trainees;
  - Anticipated length of training; and,
  - Description of Training (please include any specific activities, training providers, contacts, or training organizations planned, if any).
5. Is this training proposal part of a longer term (multi-year) activity (continuing training of a core group, expansion of the same training to different participants, or sequence of training activities to different target groups to achieve a common objective)? If so, please describe the long term plan and identify previous training activities related to this objective and/or proposed future training activities.
6. How will this training activity complement or supplement other grantee activities? How would the absence of this training activity affect the achievement of program goals?
7. Preparation: What are the key activities, skills, or ideas that participants should know to be prepared for and fully benefit from this training program? How will this orientation or preparation be done?
8. Follow-on: What are the key actions required to complete the training process after the participant returns home in order to accomplish the objectives? What grantee resources/activities are available to provide follow-on support?
9. Alternative sources of funding for this training.

A sample completed training proposal is included as Appendix 4.

## Training Proposal Selection Criteria

√	The program impact is an established USAID/B Strategic Objective or program result.
√	The result to be achieved is described in terms of specific organizational or individual change, capability, or action. (e.g. the objectives are specific enough to create an effective training plan.)
√	The proposed program has clearly defined objectives for the U.S. or third country training and describes how the training will complement/supplement the activities of in-country advisors and in-country training to achieve the anticipated results.
√	The proposal illustrates a clear commitment and availability of resources for pre-program preparation and follow-on support.
<i>Additional criteria to award extra points to acceptable proposals:</i>	
√	The proposal illustrates a multi-year sequence of training events and assistance activities designed to achieve a given result. (Note: acceptance of a multi-year training strategy implies commitment of future training resources to complete the approved sequence).
√	The training will complete an activity that was started in previous years and which has an intrinsic rationale. (Example: 12 of the core group of 18 local democracy associations have received U.S. training in previous years. The final group of 6 participants will complete the series of training activities for all of the target groups.)
√	No other source of funds are readily available to the project.

USAID/B will also use the participant training program to support targets of opportunity for effective programs that contribute in a general way to USAID strategic objectives, but for which no larger scale effort is currently underway. One of the advantages of a general participant training program is its flexibility to provide preliminary support in potential areas of future activity or to initiate contacts with new groups. A recent example of this is the training for possible new members of a Bulgarian SEC. This is an area which the Mission may wish to pursue if the trainees are named to the commission and the GOB commitment to the activity is strong. These awards may constitute preparation for an upcoming activity or may be a mechanism for assessing potential new partners. There may also be instances in which a training event can be successful and have a defined impact even though it is isolated from a broader set of activities. A maximum of 25% of the overseas training opportunities each year will be available for such activities. In addition to the overall criteria established above, selection criteria for these kinds of activities may include:

- Potential for future USAID involvement.
- Extent to which the anticipated result can be obtained without further USAID assistance.

- The program clearly complements or supplements on-going activities with established grantees.

Some question exists as to whether programs with separate training funds should have access to central contract training opportunities, rather than limiting PTPE funds to those with no alternative source of training. Some of the existing projects/grants have funds for U.S. and regional training. Most of these would prefer to use these funds and manage the training directly, and not compete for PTPE funding. Others are seeking to rationalize the use of their shrinking resources and would access PTPE funding if possible to better use the other resources for in-country support. It is recommended that resource management decisions be left to the grantees, and that decisions be based first and foremost on merit. If two proposals are equally strong, and one does not have other funding available, then this fact should be used as a tie breaker.

### 3. Selection

Based on the above priority system, the PTPE and EMED training opportunities can be allocated on the basis of proposal quality, contribution to the defined results, clear training objectives and fit into a broader program, and degree of commitment of follow-on resources. The follow-on support may be important for some of the EMED activities that are referred by short-term CDC, IESC, or VOCA advisors -- who are likely to be gone by the time the training takes place.

The training system described in this document is fundamentally different than many participant training programs in that the focus is on program results rather than on individuals, and in-country technical advisors have considerable influence on identifying candidates. Therefore, the selection criteria emphasize the program rather than the individual, which significantly limits the standard practice of nominating several qualified candidates for each training position. The determination of whether to nominate one or more candidates will largely be the responsibility of the local partner and/or technical advisor, based on how many people are required to affect the institutional performance envisioned.

The other change in procedure is that **pre-selection** of candidates or programs based on sector or previous training history or other criteria will be minimal. It is recommended that even the criteria of training resources within the grant not be a disqualifying factor. Rather, proposed training activities should be judged wholly on the quality of the proposal and the anticipated achievement of specific results.

The implications for results oriented selection and programming of training activities is significant in terms of implementation and planning. The traditional focus on individuals in target sectors rather than on results has the advantage of simplicity. Targets can be determined ahead of time and deadlines set for receipt of nominations, which facilitates planning. The emphasis on results in the USAID/B program requires that training proposals be linked to defined outcomes and be supported by preparatory and follow-on activities. Therefore, the timing of the training proposals and activities will necessarily follow the rhythm and rationale of project activities rather than the production schedule of a training contract. This will be

particularly true for the EMED training resulting from coordinated intervention plans produced by the SME Steering Committee, which will have an unpredictable flow of activities. The gain in project impact will require greater flexibility, responsiveness, and labor intensity in managing the training activity.

Advance planning for results oriented training may eventually become less labor intensive as the system is implemented over time. Training programs with an individual focus necessarily run through the full cycle of promotion, recruitment, selection, and program planning for each training slot each year. By contrast, an established training for results program can anticipate a certain number of multi-year training activities. Programs with a long-term planning horizon can eliminate the recruitment and selection phase entirely. For example, a program that plans to train the leaders of 30 local organizations over a 3 year period will not need to present new proposals or to be re-selected each year, and the training plans may require only minor adjustments.

#### **4. Developing a Training Plan and Training Agreement**

All training activities will have a clear training plan developed in close coordination with the in-country advisors. Improved coordination and communication with technical advisors is an essential aspect of this requirement. The initial training proposal may have all of the elements needed to develop a training agreement except for a defined training implementation plan proposed by the training placement contractor.

The ADS 253 policy requires that a Training Agreement be developed to assure commitment and acceptance by all stakeholders -- the participant, employer, technical advisor, USAID, placement contractor, and training provider. This is a significant departure from previous activities in several ways. First and foremost, it seeks to implement the values of teamwork, participation, and empowerment by giving the stakeholders a more direct role in developing the program. This is not an inconsequential change, because it will affect both the level of effort and the timing of developing training implementation plans (TIP). Currently the TIPs may not be available until just before the program begins, with limited opportunity for feedback and revision. However, the TIP is an integral part of the Training Agreement, and all parties should agree that the program is appropriate and adequate to meet the needs (and achieve the results) prior to beginning. Therefore, the TIP must be prepared earlier in the process.

A complicating factor in planning training programs that are proposed (and possibly funded in whole or in part) by grantees is that in many cases they will reasonably propose that the training be conducted in their home organization. This makes clear sense from the perspective of both programmatic coherence and efficiency. However, the PIET contract competition requirements for awarding placement subcontracts may have to be waived in these cases. USAID/B should discuss this issue with G/HCD. In most cases, prudent project management will require that PIET solicit alternative proposals for cost comparison purposes.

## **5. Pre-training Preparation**

As with the development of the training plan itself, the pre-training preparation should be closely coordinated with the implementing grantee. It also needs to be adequate to fully prepare the participants for the program, for logistics, cultural differences, and other aspects. Some groups will necessarily require more preparation than others. The in-country contractor should review procedures and orientation activities to assure that participants are fully prepared and comfortable with the program before they leave.

In particular, it is critical that participants know adequately in advance about when and where they are going, what the program consists of, and to be sure that the program meets expectations and needs. Effective implementation of the Training Agreement linked to orientation should go a long way toward achieving these objectives.

Close coordination with the in-country technical advisors is an essential element in assuring that the participants are adequately prepared. These advisors are in a unique position to identify specific skill, knowledge, and experiences that the trainees need and to understand the perspective of the trainees. The in-country advisors will make detailed preparations to assure that the participants understand differences in national systems so that they know what they want from the training and are able to distinguish key underlying principles. They will also help prepare the trainers and prepare the training plan so that it meets the specific needs of the participants.

## **6. Annual Training Plans and Coordination**

The nature of the strategic programs and grantee activities in USAID/B allows many similar activities in different programs. This is particularly true for some kinds of technical assistance, lectures, presentations, and other in-country training activities dealing with management issues. The Mission has the opportunity to make programmatic linkages and achieve efficiencies by combining or coordinating training activities when appropriate--this is the essence of the team approach envisioned within USAID re-engineering. This will require a focused effort at substantive intra-program communications and networking. This type of joint planning and implementation is not easy given the large number of on-going activities and separate grantees in the USAID/B program. Currently, many of the grantees are wholly unaware of other, complementary activities being conducted by other grantees or contractors.

The purpose of an annual training plan is to provide a common framework for planning training activities and for sharing this information among the entire USAID/B assistance community. Most individual contractors and grantees will include elements of a training plan in their annual workplans. However, the workplans are not widely distributed to other grantees and will necessarily contain much information that is not relevant to the broader community. The training plan, by contrast, includes only the anticipated timing and nature of training events (participant training, in-country training, seminars by local or international experts, etc.). This training plan will enable the mission and each grantee to identify possible synergies and opportunities for

coordination as well as to improve workforce planning for support services such as the participant training program.

The annual training plan should be in a form that is most useful and functional for the Mission and grantees. A sample format in matrix form is included as Annex 3. The utility of the table format is that the information can be reorganized to meet different needs by using a sort function in a word processor. By sorting against different criteria (contractor, month of training, type of training, etc.) the table can be manipulated by either USAID or the grantees to access relevant information quickly. However, using the annual training table as an active management and information tool will require each contractor to use a common format and keywords. Once all contractors have completed their training plans, they can be merged into a single table and distributed in electronic form to all contractors and grantees.

At this point, USAID/B is in the best position to serve as a central clearinghouse for information on training opportunities. The common thread among activities working in many different areas is USAID funding. However, opportunities may exist for establishing a local training clearinghouse for certain types of training activities, such as management skills. This clearinghouse might be located in an entity such as the Business Development Center at New Bulgarian University, at AUBG, or in some similar educational institution. This option will be explored for the future while the immediate networking needs are met through the USAID and the benefits of coordination and networking are shown to the participating groups.

## 7. Follow-on

The follow-on requirements for the PIET contract should be reconsidered in the light of the program proposals being recommended. For the most part, follow-on activities will be included as part of the overall training agreement and generally provided by technical assistance or local training providers rather than PIET. Only in the relatively few cases of individual training or targets of opportunity will PIET be encouraged to identify generic follow-on activities, monitoring, or specific support for groups or individuals who have no other in-country support system.

## 8. Monitoring and Evaluation

Monitoring and evaluation of the HCD program will be conducted at several levels. The most important level is the programmatic impact, which will be assessed at the program results level rather than at the level of the training activities. In other words, the combined impact of participant training, in-country training, technical assistance, and financial assistance will be evaluated in terms of the identified specific results in the Results Framework.

Monitoring and evaluation of training activities *per se* will be conducted on two levels. **Outcome of the training activities** will be measured by the extent to which the participant applies the training as agreed to in the Training Agreement. Overall **program effectiveness** can

be measured as a percentage of the participants who successfully complete their training agreements.

Overall program monitoring will also be continued by external monitoring and evaluation contracts. The PTPE Regional Monitoring contract will assess different measures of program effectiveness at both the regional and country levels. The MTEE Evaluation Contractor will assess the performance of that grant.

## **D. Mission Training Plan - FY 1996**

As discussed above, the Mission Training Plan is the result of a process of detailed project planning that is aggregated into a mission-wide document for implementation and intra-project communication. The training plans for Mission programs in FY 1996 will be evolving over the next several months. Several major program groups will be developing their programs and identifying targets in this period. In particular, the municipal development strategy, which will have a significant training element, must await the outcome of the elections and program development with the new or continuing elected officials. It is expected that most of the officials will be changed, which may also result in changes in the ten demonstration cities. The full development of this program will also depend on the arrival of the contractor for public administration training. The political development activities will also be affected by the coming elections.

The implementation of the SME strategy emphasizes a coordinated set of interventions at the firm level and development of a corps of trained consultants. The initial efforts to set up a diagnostic tool and a coordinated approach to private sector assistance are underway, but time will be required to fully establish this system. On-going programs seeking to develop new industries, such as the VOCA/ACDI efforts in agribusiness, may not be ready to propose U.S. training activities until mid to late 1996.

Initial training of a group who may form part of a commission to develop a regulatory body for the stock exchange may well lead to a larger training and technical assistance activity, but this also must await events.

From the point of view of programmatic impact, the timing issue is not critical. If training is to be fully integrated into the broader program to assure adequate preparation and follow-on, it is inappropriate to impose an artificial schedule of training events. In situations where external events such as elections impose a rigid constraint on activities, it is not possible to impose such a schedule. This will not affect the implementation of in-country training activities, which are separately funded in grant mechanisms.

Another factor that will affect planning for participant training in FY 1996 is the timing of the results framework exercise. While this exercise is primarily a planning tool for strategic objectives, it is the critical element in effective project management. The results frameworks should identify the institutional performance improvements required to attain the program objectives. This kind of definition of specific results is critical for focusing training activities. For example, it is not unreasonable to assume that the municipal development program will develop a checklist of the elements of effective municipal governance. This could include core competencies and associated indicators that the training and technical assistance is intended to achieve. The identification of specific results is essential for both planning and evaluating training on a program level. It is not yet clear when the results framework will have specific targets at this level.

However, flexibility of the PIET programming contract is notably constrained in this fiscal year. The contract will end in September 1996 as the global participant training contract is rebid. This fact strongly encourages the completion of training activities relatively early in the calendar year to allow for an orderly phase-out of the contract. Therefore, in this year the timing of the programmatic activities will not necessarily coincide with the availability of a contracting mechanism to implement the U.S. portion of the training.

The implication of these constraints for the FY 1996 training program is probably that the training strategy should be phased in gradually, using the first year as a trial period for working out new procedures.

The selection of areas of training and the programs to be supported will be determined by the results-oriented process established in this strategy. In keeping with this strategy, this document does not contain a list of areas or programs that should be included in the training program for the year. However, a preliminary assessment of activities that have been proposed or are a continuation of a previous activity are included below to facilitate initial planning activities. These programs are consistent with many of the criteria established and are candidates for 1996 training activities. Actual selection should be based on the proposal prepared by the grantees.

### **Possible Areas for FY 1996 Training**

#### **1. *Environmental Training Program (ETP)***

This program has established a two year training program at the University of Varna in environmental management. The curriculum for the first year, which emphasized the generic management aspects of the program, was completed as part of the grant with assistance from University of Minnesota faculty. While the grant has ended, the curriculum and materials development for the remaining nine courses for the second year of the program has not been completed. Training of nine Bulgarian faculty at the University of Minnesota would complete a program initiated with USAID funding and build on the capacity developed.

#### **2. *Bulgaria Association for Free Elections (BAFE)***

BAFE works with 28 volunteer organizations to monitor free elections and promote democracy. Over the past two years, two groups of leaders from these organizations have attended training programs in the U.S. These training activities have been very effective in instilling the attitudes and insights necessary to pursue non-traditional approaches to community-level action. The final group of volunteers will complete the training and will leave all of the volunteer organizations with a leader who has benefitted from U.S. training. The BAFE program fully integrates all overseas training with the on-going activities and objectives of the program. NDI developed substantive orientation and preparation activities, designed the U.S. training activities and prepared lecturers for critical issues, and assisted returnees in implementing their visions through on-going technical support through BAFE.

### **3. *International Republican Institute (IRI)***

IRI has been working with a select number of political parties to develop campaign and candidate skills and to promote effective political alliances. The timing of the Bulgarian national elections and the U.S. national elections offers an opportunity for Bulgarian politicians and campaign managers to view the highly organized and focused political campaigns in the U.S. and to apply those management techniques in Bulgaria. The U.S. training can be a natural "fit" between the previous work in local elections and the preparation for national elections, with the U.S. advisors providing follow-on.

### **4. *Securities and Exchange Commission (SEC)***

The 1995 training of three likely nominees for the Bulgarian SEC may lead to an expanded assistance effort and substantive training program to support the development of regulatory norms and procedures. Should this occur, the SEC support activity is likely to involve a substantial amount of U.S. and in-country training.

### **5. *Free Trade Union Institute (FTUI)***

The FTUI program is directly oriented toward developing a corps of effective trainers in the trade union federation. This training of trainers orientation is pursued through a combination of in-country training, on-the-job training (technical advisors) and U.S. training programs. As is the case with BAFE, FTUI has provided about 2/3 of the trainers with a U.S. training program and is planning to complete the professionalization training of the entire cadre of local trainers. The 1996 proposal will complete the training cycle for this group of trainers.

## E. Special Issues

### 1. Participant Interpreters

This issue may be moot in light of high level USAID decisions made since the draft document was prepared. However, given the importance of the issue to program effectiveness, it is deemed important to address the issue in this planning document.

Over the past several years, USAID/B has made a practice of sending Bulgarian participant/interpreters to accompany groups to the U.S. This innovation has allowed Bulgaria to recruit participants more broadly from the non-English speaking parts of Bulgarian society and has enabled grantees to use training activities more effectively. This practice has been called into question by as a violation of general Agency policy.

The Agency policy issue is outside of the scope of this document. However, the technical advantages of participant interpreters are clearly recognized by participants and program managers. The primary advantages are:

- Relevance and accuracy of translation:* Effective translation requires more than vocabulary and grammar, particularly in the context of the rapidly changing societies of the central and eastern European region. The purpose of the participant training programs is to introduce new concepts and ideas in a way that participants can understand them. This requires familiarity with the technical field and native understanding of the current Bulgarian economic and political context. Even the vocabulary is not static, as many new words are being developed in Bulgarian to deal with new concepts. Bulgarian translators in the U.S. often lack either the technical or contextual/social background to translate the meaning of the presentations, as well as the words.
- Cost:* The total cost of sending Bulgarian participant/interpreters is much less than the cost of hiring U.S. based interpreters.
- Increased impact:* In many cases, the interpreters are also working in the target organization, so more people are exposed to the training and ideas. While it is generally true that individuals who are acting as full-time interpreters cannot concentrate as much on the actual training, they unquestionably benefit more than if they had not participated at all. Furthermore, the benefit to Bulgaria is unquestionably greater than if Americans act as interpreters.

While the programmatic and technical advantages of continuing this approach are significant, it is also important to recognize the potential disadvantages of using participant- interpreters. This approach has been used in several different programs, each of which applied different criteria and standards for the interpreting services. The lessons learned by the different approaches are:

- Number of interpreters:* Some program managers were concerned that programs did not

have an adequate number of interpreters to enable participants to engage in informal communications. Some programs had one interpreter for every 3-4 participants, while others had 8-10 participants per interpreter. The higher ratio is adequate for formal lectures and seminars, but is not useful for effective exchange in small working groups or individual side conversations.

- *Use of professional interpreters:* Some programs literally used participant-interpreters -- English speaking professionals who work in the same organization. Others used trained interpreters (who may or may not work in the target organization). Experience has shown that knowledge of a language is not adequate preparation to serve an interpreter in a formal training program. The level of skills adequate to intermediate in a conversation around a coffee table is not enough to provide interpreting services.

USAID/B should continue to seek accommodation with USAID/W to work out a legal way of using local professionals as interpreters in view of its programmatic effectiveness and low cost.

## **2. PVO Local Staff Training**

The USAID/B program is largely implemented through grants to international and local organizations. The majority of the programs rely heavily on local professional staff and a small number of expatriate staff. In several cases, local employees of the grantee organizations have attended participant training programs as either participants or participant/interpreters. In at least one case (CARESBAC), a core professional employee attended a training program to improve her skills as a financial analyst which allowed her to take a more important job in the organization. (This case was also unusual in that the USAID support to CARESBAC was through a parent organization, and not directly to the Bulgarian firm.) This practice has been discontinued by USAID/B on the grounds that grantee organizations are responsible for staff training.

It would be useful to review this decision in light of a results based training strategy. In some cases, staff development may substantively contribute to program objectives in the short-run and may add to core Bulgarian competency in key skills in the long-term. In the example of CARESBAC, for example, the training of financial analysts who then gain experience assessing loans for the program may be an effective way of facilitating loan analysis in the short-term and for creating a cadre of financial consultants in the long-run. Given that one of the core elements of the SME strategy is to develop the consulting industry, it should be recognized that the most useful source of skilled consultants is experienced personnel in key industries. The most effective consultants are not trained--they are developed through experience.

In reviewing this policy, USAID/B should make a distinction between grantees and contractors. Contractor firms, such as PIET, have contracted to provide an installed capacity to perform the specific functions. As a contractor, it is expected that employees be capable of performing their jobs. The PVO grants, however, are in more ambiguous position. These kinds of training opportunities would not apply to organizations that have specific funding for staff development, contractors, and of course training for U.S. citizens or holders of green cards.

## F. Conclusions and Recommendations

The USAID/Bulgaria program can benefit from establishing a common conceptual framework for human capacity development that applies to all programs. USAID/B has a strong foundation for such an approach in light of the important role that human capacity development has played in the program since its inception. The program has a significant number and range of resources available for a fully integrated program of human capacity development.

The essential elements of this approach are the following:

1. Implement a Mission process to coordinate and implement all HCD activities within a common planning framework to achieve defined program results.
2. Emphasize a *training of trainers* approach whenever feasible to develop local organizational capacity for sustainable training in key fields.
3. Encourage linkages and networking among Mission projects to share training resources and achieve cost-efficiencies.
4. Coordinate the use of different HCD mechanisms (participant training, in-country training, and on-the-job training by local advisors) in an integrated long-term approach to resolving critical attitudinal and management constraints to achieving defined program results.
5. Direct USAID and centrally funded participant training resources toward those programs with well developed long-term training plans that focus on defined results.
6. Consistently apply the Agency and Mission values, principles, and policies in implementing the HCD activities.

This approach will build on the existing strengths of the USAID/B program and will effectively focus training resources to achieve sustainable results in areas of programmatic importance to the Mission. It establishes a common training for results framework for coordinating activities under many different grant programs and achieving greater cost-effectiveness and development impact.

## Appendix 1.

### Interviews and Documents Reviewed

#### USAID/W

Kay Harris  
John Batelle  
Stephen Brooks  
Lori Freer  
Sarah Ackerson  
Mark Abramovich  
Bill Binns  
Judy Schumaker  
Mark Houser

Dr. Leslie Koltai, National Center for Development of Education  
Bob Strahota, Securities and Exchange Commission  
Deputy to Beatrice Maestas, Dept. Of Labor

#### USAID/B

Brad Fujimoto  
Evgenia Georgieva  
Bistra Petrova  
Skip Kissinger  
Lada Stoyanova  
Nikolai Kolev  
John Babylon  
John Tennant

#### Contractors

Stan Shumway, University of Delaware  
Rousian Abadjiev, ""  
Christine Donnolo, " "  
Sandra McCollum, PIET  
Margarita Christova, EMED/PIET  
Philip Stoyanovich, Pragma Corporation  
Michael Hoffman, Urban Institute  
Susan Berger, Citizens Democracy Corps  
Christina Kyuchukova, Citizens Democracy Corps  
Aaron Bornstien, Institute for Sustainable Communities  
Virginia Rollins, Bulgarian American Enterprise Fund  
Tom Ulrey, Bulgarian American Enterprise Fund  
Krustina Mandova, Environmental Training Project  
James Donley, International Executive Service Corps  
Kraassimir Kiriakov, Volunteers in Overseas Cooperative Assistance

Hertzelina Pinkas, Volunteers in Overseas Cooperative Assistance  
Don ..., Regional Director, Volunteers in Overseas Cooperative Assistance  
Veslava Popova, ACDI  
Dr. William Huth, USDA Agricultural Attache  
Dr. Julia Watkins, American University of Bulgaria  
Dr. Paul Dax, Harvard Institute for International Development  
Greg Robison, CARESBAC  
Daniel O'Brien, Free Trade Union Institute  
Tom Goetz, Land of Lakes  
Lisa McLean, National Democratic Institute  
Margarita Mateeva, Regional Environmental Center  
Richard Mei, USIS  
Radoslav Tsonchev, New Bulgarian University  
Phil Tanis, International Republican Institute  
Scott Carpenter, International Republican Institute  
Manuela Russeva, Land o Lakes  
Tom Goetz, Land o Lakes  
Antonina Crumbie, US Treasury  
Jerry Stewart, ABA/CEELI

## Appendix 2.

### Documents Reviewed

USAID/Bulgaria, Bulgaria Strategy Framework 1996-2000, April 1995  
USAID/Bulgaria, Municipal Development Strategy, draft 8/16/95  
USAID/Bulgaria/USAID/W/ENI, Strategies for Small and Medium Enterprise Development in Bulgaria, draft 6/30/95  
Report on Impact of PTPE Programs, Nadezhda Tisheva and Marin Karageorgiev, 8/31/95  
USAID/B, Support for Decentralized Government in Bulgaria (cable)  
PIET/Bulgaria, Recipients of Certificates of Achievement 1994 and PTMS lists of 1995 participants  
University of Delaware, Grant proposal 5/26/94  
University of Delaware, Grant Scope of Work  
USAID/B Trip Reports to UD Workshops, Evgenia Georgieva, various dates, 1995  
USAID/B, Memorandum of Meeting with Univ. Delaware, December 1994  
The Koltai Group, Evaluation Reports 1992 - 1994  
Handouts - A Needs Assessment Primer, Roger Kaufman  
Chemonics International, Bulgaria Municipal Training Program Technical Proposal  
Training for Development Results Package, USAID/Ecuador, HERNS  
Strengthening the Human Capacity Development Strategy of USAID/El Salvador, HERNS  
Development Training II Project - Monitoring and Evaluation System, USAID/Egypt  
Automated Directives System (ADS) Chapter 253 - Training for Development Impact, USAID/W

### Appendix 3.

#### USAID/Bulgaria Human Capacity Development Matrix

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
<p><b>Program Sub-goal 1: Support for the transition to transparent and accountable governance and empowerment of citizens through democratic processes, acceptance of democratic values, and full support for human rights.</b></p>				
<p><b>Strategic Objective 1. <i>Strengthen local government to make it effective, responsible, and accountable to its local citizens.</i></b></p>				
<p>Local govts more efficient in managing resources. Model mgt systems in 10 demo cities. Indicators -IFIS will lend -accounting systems meet intl stds -merit based personnel systems -increased revenue generation capacity</p> <p>Local govt more democratic and responsive to citizens. Improved management of services, organization, and administrative procedures.</p>	<p>Mayors develop municipal strategy and priorities</p> <p>Effective systems for core municipal mgt and services exist. Target functions are: financial mgt and cost audits, personnel system, personnel training, citizen outreach, delegation of authority, waste management</p> <p>Mayors able to plan and implement civic improvement and solicit funds.</p> <p>Mayors have systems for citizen interaction and participation in setting priorities</p>	<p>Mayors and councils need to develop a vision of city management functions.</p> <p>Municipal staff, council, and others share the vision and priorities.</p> <p>Municipal staff and managers need specific skills in financial mgt, personnel systems, organizational development, management style, and managing change. Need a structure for organizing work, defining roles, encouraging good work habits.</p> <p>Mayors and staff understand citizen outreach idea and practice. Citizen apathy reduced</p>	<p>US training, observation tours Possibly CEE tours In-country advisors</p> <p>Local advisors In-country training Possibly US tours/training, (less urgent)</p> <p>In-country training workshops, seminars, and OJT with advisors.</p> <p>US training (possibly included in technical In-country training Consulting</p>	<p>PIET or Urban Institute /Housing (funding levels unclear)</p> <p>UI/Housing UI/Chemonics PIET or Housing</p> <p>LGI team Chemonics</p> <p>PIET (if needed) LGI core advisors LINKAGE: IRI/NDI</p>

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
<p>Local govt associations actively represent local interests to central govt and provide key services to members.</p> <p>Indicators            -increased membership            -more public participation            -some are financially viable            -national federation formed</p>	<p>Associations develop business plans and organizational structure. Have active information dissemination system.</p> <p>Associations define services needed by members and provide them.</p> <p>Specific policy reforms proposed for rationalization of subsidies and devolution. Promoted at central level</p>	<p>Municipal reps understand how associations can function to support and strengthen.</p> <p>Association leaders/members know how to develop business plan, create non-profit organization, &amp; membership development skills</p> <p>Associations establish systems to define and prioritize member needs. Develop skills to provide services.</p> <p>Specialized technical assistance on detailed financial and statistical studies, feasibility assessments - working with key municipal leaders.</p>	<p>US Training Local consultants and training</p> <p>Local advisors and local training</p> <p>Local advisors</p>	<p>PIET SC</p> <p>SC/LGI</p> <p>SC/LGI</p> <p>LGI short term analysts</p>
<p>Local govts design and implement strategic plans for private economic development</p> <p>Indicators            -econ dev offices            -strategic plans            -econ growth, investment, employment</p>	<p>Establish city system for economic development, encouraging private business growth. This will require:            --city dev. strategy (tourism, industrial park, incubator, etc)            - organizational mechanism to implement            -- positive relations with business - joint public/private boards</p>	<p>Public and private managers need an understanding of each other and their relationship - a vision of how it can work.</p> <p>Organizational and technical skills to implement a particular strategy. Knowledge of other programs.</p>	<p>US or CEE Observation tours to see effective partnerships Observe and discuss different city strategies.</p> <p>In-country training programs In-country advisors</p>	<p>Urban institute (CEE) PIET (US)</p> <p>Chemonics Urban Institute Chemonics Delaware (if needed) LINKAGE - SME business promotion</p>

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
Central govt adopts intergovt model with more than 50% revenues from local sources	<p>Devolution of authority to local government for revenue generation, financial management, and service mgt.</p> <p>Active central-local discussion of devolution models and options</p>	<p>Key leaders in Min-Finance and Min-Reg Dev understand successful decent, experience in other CEE countries.</p> <p>Ability to draft facilitating legal framework</p>	<p>CEE observation tours, regional policy seminars local technical assistance</p> <p>Local advisors or short-term specialists</p>	<p>Urban Institute</p> <p>Urban Institute Chemonics</p>

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
<b>Strategic Objective 2: <i>Promote active participation of Bulgarian and NGOs in political and economic decision making.</i></b>				
AUBG established as a sustainable university with a recognized role in Bulgarian society and economy	AUBG is able to create a program structure with adequate revenues to cover costs	na	na	na
Political groups are effective in local and national political dialogue/elections in next elections Winning candidates establish citizen outreach to maintain political viability.	Political groups favoring democratic system develop effective political organizations from grassroots organizing, candidate and message development, campaign techniques and strategies,  Develop coalitions, have tolerance in political debate	Key leaders and candidates of parties most likely to win develop an image of modern democracy.  Politicians and campaign managers develop specific political organizing skills.	U.S. training CEE regional tours  Local advisors In-country training - conference	PIET  IRI
NGO network is established to strengthen members and establish viable NGO sector		NGO leaders develop a vision of how effective NGOs are run and how they respond to their members. How to collaborate  Organizational and fund raising skills	Local advisor CEE or US training (maybe)  Local advisor In-country training US experts provide training	Democracy network  Democracy network

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
Volunteer network established to monitor free elections, encourage popular participation	BAFE establishes effective, sustainable clubs capable of generating and sustaining volunteer effort.	<p>Leaders of each club need a vision for how this can work, and specific organizing techniques to keep people interested.</p> <p>Organizational development, financial mgt, voter education systems,</p>	<p>US training CEE training Local advisor</p> <p>In-country training Local advisor</p>	<p>PIET PIET NDI</p> <p>NDI NDI</p>

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
Program Sub-goal 2: Foster emergence of a competitive, market-based economy in which the majority of economic resources are privately owned and managed.				
Strategic Objective 3: <i>Establish legal, policy, and regulatory framework conducive to broad based competition and private sector growth</i>				
Develop legal framework and policy for bankruptcy and collateral law and improve judicial competence in commercial law	Draft bankruptcy and collateral law  Develop professional associations of judges focused on commercial law issues	na  Organizers require knowledge of professional associations and technical training in commercial law	Technical advisors  In-country training and technical Advisors	Deloitte IRIS ABA/CEELI  ABA/CEELI
Create a modern, transparent, and adequate tax system.  Develop financial mechanisms for environmental investments	Bulgarian treasury develops improved systems for income tax administration, citizen education, compliance	Decision makers at the central and regional levels understand functions of a modern tax administration system in a non-centralized system.  na	US and CEE training advisors	This activity is phasing out.  HIID
Strengthen capital markets stock exchange in preparation for mass privatization	Develop organizations to regulate security transactions.  Strengthen organizations to support commercial and financial transactions through bank restructuring.	Basic understanding of structure and purpose of regulatory system  Structure and functions of banking system in market economies.	Preliminary training for prospective members of Bulgarian SEC committee.  To be determined	PIET (this is an exploratory activity)  Initial exploratory training by PIET, later to be included in grant funding.
Reform pricing in energy sector to establish competitive rates.	Establish legal and regulatory standards for energy management and encouraging private sector solutions.	Basic understanding of energy prices and the economy. Management skills and procedures for managing energy sector.	Energy Project	

Program result	Specific Performance Indicators	Human Resource Needs	Estimated Training Activities	Responsible Project; Resources
<b>Strategic Objective 4: <i>Stimulate development of private sector enterprise</i></b>				
Improved operations of privately owned SMEs in Bulgaria. At least 80% of the firms have achieved their identified objectives.	As firm level assistance, the results will necessarily be unique to each firm. Therefore, the needs and objectives will be developed on a firm by firm basis.	To be determined by the case by case analysis	To be determined by the case by case analysis	To be determined
Improved delivery capability of high quality SME support services	Partners develop successful, well managed consulting businesses with sound marketing strategies and technical capabilities.	Consultants must understand the issues of managing a consulting business in addition to developing core expertise that meets market demands.	To be determined by the analysis	To be determined by the analysis.

## Appendix 4.

### Illustrative Country Training Plan Format

This matrix format for a country training plan can be used for a range of planning and coordinating activities. The table can be sorted by contractor, type of training, date or by any combination of factors. Sorted by contractor, the table shows the complete training plan of every individual contractor for the year and, presumably, the relationships between the training activities. Sorted by type of training and date, the table allows for time management planning for the training contractor. Sorted by date, it shows the level of activities on-going in any given month. The table can be used by USAID for strategic review, by PIET for workforce planning, and by all of the other contractors to identify opportunities for coordinating training activities and developing linkages among programs.

Contractor	Type of Training	Area of Training	Est. Number	Anticipated Dates
BAFE	Participant (U.S.)	Volunteer organization management	12	5 - May
BAFE	In-country	Voter Participation techniques	18	2 - February
BAFE	In-country	Fund-raising techniques - local seminar	28	5 - May
BAFE	Third Country	Conference - Poland Free Elections	8	3 - March
BAFE	In-country	Community involvement techniques - regional BAFE experts	12	1 - January
FTUI	In-country	Financial management for community groups - local advisors workshop	12	2 - February
FTUI	In-country	Fund-raising for non-profit groups - seminar by US expert with representatives from Polish unions	18	8 - August
FTUI	Participant (U.S.)	Observation tour and internships in trade unions	8	9 - September
FTUI	In-Country	Community Group Management - guest lecturer from U.S. on community involvement techniques	24	7 - July
Land o Lakes	In-country	Cooperative Financial Management - US lecturer	24	4 - April

## Appendix 5.

### Sample Training Proposal

(Note: This is an illustrative example of a training proposal and does not necessarily reflect the actual training plan of the BAFE project.)

1. Name of Grantee: *National Democratic Institute*
2. Program Impact and Objectives:

*The goal of the BAFE project is to establish 28 sustainable community based volunteer organizations capable of performing the following functions: voter registration and participation, voter education, election monitoring, and non-profit organization management. As these are new organizations, they have no experience in any of these functions.*

3. Role of training in achieving program impact:

*Training is the primary activity of the NDI program. The BAFE organization started with members who had no common understanding of how these kinds of organizations could be effective, no sense of loyalty to the organization, and no common vision or goal. The members also had limited organizational, promotional, or management skills. The purpose of the coordinated development program is to inculcate the sets of attitudes, technical skills, and management skills necessary to make this a sustainable, vibrant association of voluntary clubs. The training program has three components:*

- a. *In-country Training*

*The in-country training is conducted by the long term advisor in both formal (workshop, seminars) and informal (daily interaction) activities. The advisor is supplemented by specialists from NDI in the U.S. and other countries. Between 6 and 8 formal training sessions are held each year and almost constant informal sessions with the long-term advisor and among the partners.*

- b. *U.S. Training*

*The leader of each of the 18 partner community organizations will attend a training session in the U.S., managed and conducted by NDI. The objective of the U.S. based training is to challenge the immediate world view of the community leaders and to encourage them to explore new possibilities. The groups will visit at least three different community political organizations and will attend classroom seminars in three general areas: get out the vote, maintaining volunteer enthusiasm, and fund-raising.*

- c. *Third-country Training*

*NDI will send Bulgarian participants to approximately 2 third country seminars*

*each year to exchange experience with their counterparts from other countries.*

4. Proposed participant training activity:

a. Specific outcome of the training activity:

*Improved leadership of the community groups, new initiatives and stronger commitment to new approaches.*

b. Specific learning objective for the participant(s):

*The purpose of the training is to show the participants how people in similar leadership situations in other countries plan and execute their programs.*

c. Number of trainees:

*28 community group leaders, trained in three groups of 8-9*

d. Anticipated length of training:

*24 days*

e. Description of Training (please include any specific activities, training providers, contacts, or training organizations planned, if any)

*The training plan consists of approximately 3 weeks of training. The general schedule is that each week will consist of 2 days of workshops and 3 days of visiting local election monitoring clubs and meeting with key political leaders. The participants travel to a different site each week during the training to be exposed to a variety of different programs and leadership styles.*

5. Is this training proposal part of a longer term (multi-year) activity (continuing training of a core group, expansion of the same training to different participants, or sequence of training activities to different target groups to achieve a common objective)? If so, please describe the long-term plan and identify previous training activities related to this objective and/or proposed future training activities .

*The overall training activity, which includes the participant training in the U.S., is the central element in a four year development effort to establish election monitoring and support organizations at the community level. The three US training activities are all part of the sequential strengthening of each of the 28 community clubs. All of the U.S. training builds on the in-country and third country programs. The end result of the overall three year training program will be the existence of sustainable community clubs.*

6. How will this training activity complement or supplement other grantee activities? How would the absence of this training activity affect the achievement of program goals?

*The U.S. training activity enables the key community leaders to better understand and apply the ideas of the local advisors. This element strengthens the entire program by validating the advice of the resident advisors and extending the impact of the in-country training. This element makes each of the other program activities more effective.*

7. Preparation: What are the key activities, skills, or ideas that participants should know to be prepared for and fully benefit from this training program? How will this orientation or preparation be done?

*The participants will be prepared by receiving a full briefing on the electoral system in the U.S. and how it differs from that found in Bulgaria. They will also be shown how to look for the key points of similarity in programs. The U.S. trainers will also be prepared by receiving a full briefing on the Bulgarian election system so that the training is more relevant. All participants will also receive a complete orientation on travel and living in the U.S. and complete information on the program schedule.*

8. Follow-on: What are the key actions required to complete the training process after the participant returns home in order to accomplish the objectives? What grantee resources/activities are available to provide follow-on support?

*The follow-on to the U.S. training is the on-going program support and in-country training in the BAFE program. This program will continue approximately 8 months after the last group receives U.S. training.*

9. Alternative sources of funding for this training.

*None*