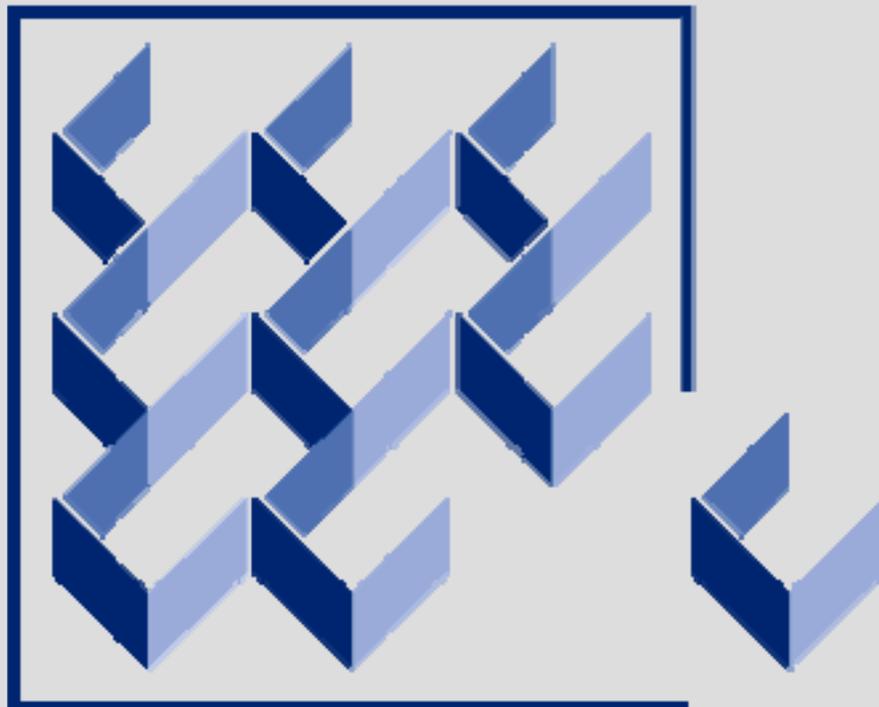




USAID
FROM THE AMERICAN PEOPLE

FORECAST II PRACTITIONER'S HANDBOOK

Building a Global Community of Practitioners





USAID
FROM THE AMERICAN PEOPLE

Dear Colleague:

The Office of Education is pleased to provide you with the latest edition of its “FORECAST II Practitioner’s Handbook,” a guide to best-practices, policies and procedures for implementing training, education, and institutional capacity building activities. The handbook is a valuable go-to guide on using FORECAST, an indefinite quantity contract (IQC) offering a fully integrated and flexible package of cross-cutting services to support human and institutional capacity development (HICD) needs. It also includes a full range of participant training services.

The handbook is designed for a broad development audience, including FORECAST II practitioners in USAID Missions, U.S. Embassies and in USAID/Washington offices, as well as implementation contractors and their vendors. I think you’ll find this handbook a valuable reference for new practitioners and seasoned professionals alike.

Divided into three chapters, the handbook addresses Human and Institutional Capacity Development, FORECAST Interventions, and Community Connections—in that order—and references the Agency’s policy directives on Visa Compliance (ADS 252) and Training for Development (ADS 253). The handbook does not replace the Agency’s Automated Directives System (ADS), nor does it contradict current regulations. It does attempt to help you apply the regulations in relation to your HICD activities.

For your convenience, the FORECAST Practitioner’s Handbook can be found on the egat/ed web at http://inside.usaid.gov/EGAT/off-ed/reports_publications.htm, or http://www.usaid.gov/our_work/education_and_universities/participant_training/. The on-line version will enable us to periodically update the handbook to reflect program and policy changes as they occur. If you have any comments or suggestions, please contact Ethel Brooks, contracting officer’s technical representative for FORECAST II at ebrooks@usaid.gov.

Sincerely,

Gary Bittner
Higher Education Team Leader, Office of Education
Bureau for Economic Growth, Agriculture & Trade

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1 HUMAN AND INSTITUTIONAL CAPACITY DEVELOPMENT

1.1 INTRODUCTION

The HICD chapter of the FORECAST II Practitioner's Handbook was developed by the Bureau for Economic Growth, Agriculture and Trade (EGAT) to help USAID integrate Human and Institutional Capacity Development (HICD) into its development assistance programs. This chapter provides information on the evolution of HICD, implementation guidance, and tools for implementing HICD initiatives.

1.2 BACKGROUND

Strengthening institutional capacity is one of the greatest challenges faced by USAID as it works to fulfill its development assistance mandate worldwide. USAID's host country partners include organizations tasked to provide services and products to their constituents across a wide spectrum of sectors. These organizations face daunting challenges as they struggle to perform in developing country environments often undergoing or recovering from political, social and economic upheaval. Such overwhelming changes would tax the ability of any well-established organization in the developed world to adapt and thrive; the challenges posed to newly established organizations and organizations mired in decades of bureaucratic cultures and work ethics are even greater.

Yet, the greatest legacy USAID could leave in the wake of its long-term development programs is one of successful host country partner organizations capable of providing quality services and products to their constituents and stakeholders.

USAID's innovative Human and Institutional Capacity Development (HICD) initiative provides methodologies and tools designed to assist USAID's partner organizations in their quests for performance excellence. Through the application of these methodologies and tools USAID can help its partners develop clearly articulated goals and objectives and achieve those goals and objectives through exemplary performance. Not only does HICD provide support to the organization in analyzing and resolving complex problems, HICD also provides for the transfer of performance improvement analytical techniques to the organization to empower it to apply the same methodologies to performance problems that are identified in the future. In other words through the HICD process, HICD methodologies are transferred to the Partner organization to increase its capacity for solving its own performance problems.

HICD can be successfully applied to government organizations, for-profit organizations, non-profit organizations and professional associations. HICD will enable these organizations to responsibly meet the needs of their countries and their citizens.

1.2.1 From Training To HICD

USAID has historically made large investments in training, each year supporting the training of hundreds of thousands of Host Country Residents and Nationals taking part in USAID-sponsored programs worldwide. This training, called Participant Training, is either short-term technical training or longer-term, degree-earning academic education for mid- to high-level professionals from the public and private sectors. Training is a structured experience that helps individuals acquire new, predetermined knowledge, skills, and attitudes to address or solve targeted operational problems.

Increasingly, USAID has recognized that training does not have an impact until the knowledge or skills acquired by the trainees have been successfully applied to a specific work situation, which, in turn, results in a measurable improvement in performance. Therefore, successful USAID training should not be measured in terms of the number of individuals trained but rather by the contribution made by trainees to organizational performance improvement.

Training, however, is only one piece of the organizational performance puzzle. Most performance improvement experts recognize at least five additional factors that affect performance in any organization as shown in the following Updated Behavioral Engineering Model used by the International Society for Performance Improvement (ISPI).

Through a comprehensive analysis of organizational performance based on these six performance factors, HICD identifies performance gaps and introduces performance solutions, also referred to as interventions, to close those gaps. Appropriate performance solutions are designed depending on which of the six performance factors lie at the root causes of the performance gap.

Through the HICD initiative, USAID is able to offer support to its committed, results-oriented partners. HICD enables USAID's partners to identify barriers to desired performance levels and implement performance solutions to eliminate those barriers. The ultimate goal of HICD is to help USAID's partners fulfill their mandates and provide the highest level of service to their constituents and stakeholders.

International Society for Performance Improvement Updated Behavior Engineering Model ¹			
ENVIRONMENT	<p>INFORMATION</p> <ol style="list-style-type: none"> 1. Roles and performance expectations are clearly defined; employees are given relevant and frequent feedback about the adequacy of performance. 2. Clear and relevant guides are used to describe the work process. 3. The performance management system guides employee performance and development. 	<p>RESOURCES</p> <ol style="list-style-type: none"> 1. Materials, tools and time needed to do the job are present. 2. Processes and procedures are clearly defined and enhance individual performance if followed. 3. Overall physical and psychological work environment contributes to improved performance; work conditions are safe, clean, organized, and conducive to performance. 	<p>INCENTIVES</p> <ol style="list-style-type: none"> 1. Financial and non-financial incentives are present; measurement and reward systems reinforce positive performance. 2. Jobs are enriched to allow for fulfillment of employee needs. 3. Overall work environment is positive, where employees believe they have an opportunity to succeed; career development opportunities are present.
INDIVIDUAL	<p>KNOWLEDGE/SKILLS</p> <ol style="list-style-type: none"> 1. Employees have the necessary knowledge, experience and skills to do the desired behaviors. 2. Employees with the necessary knowledge, experience and skills are properly placed to use and share what they know. 3. Employees are cross-trained to understand each other's roles. 	<p>CAPACITY</p> <ol style="list-style-type: none"> 1. Employees have the capacity to learn and do what is needed to perform successfully. 2. Employees are recruited and selected to match the realities of the work situation. 3. Employees are free of emotional limitations that would interfere with their performance. 	<p>MOTIVES</p> <ol style="list-style-type: none"> 1. Motives of employees are aligned with the work and the work environment. 2. Employees desire to perform the required jobs. 3. Employees are recruited and selected to match the realities of the work situation.

¹ Reprinted with permission of the International Society for Performance Improvement. Chevalier, R. (2003). Updating the Behavioral Engineering Model. Performance Improvement 42(5).

1.3 HOW IS HICD DIFFERENT FROM TRAINING?

Training is the performance solution that is effective in addressing performance gaps related only to *knowledge and skills* — not any of the other five performance factors. A comparison of the key characteristics of HICD and training is helpful to gain a better understanding of this holistic cross cutting initiative.

The following chart compares HICD to training:

<u>TRAINING</u>	<u>HICD</u>
Focuses on <i>only one</i> performance factor - skills and knowledge	Focuses on <i>all six</i> performance factors
An event	A process
Follow-up with individual performers	Continuous measurement process
Based on learner needs	Based on organizational needs
Evaluated by individual performance	Evaluated by Organizational Performance
Focus on 1 or few individuals	Focus on <i>systems</i> approach to improve organizational performance
Single type of intervention (training)	Multiple types of performance solutions (interventions)
Pre-disposed to training to increase knowledge and skills	Solution indifferent with no pre-conceived ideas about the causes
Based on project commitment	Based on organizational commitment
Training needs assessment	Performance assessment
Builds capacity of individual	Builds capacity of organization
Results-oriented at participant level	Results-oriented at organizational level
Can be ad hoc	Must be systematic

1.3.1 HICD Defined

HICD is the systematic analysis of all factors affecting performance in an organization, leading to the identification and elimination of significant barriers to achieving the performance goals established by the organization. The ultimate goal of HICD is to help USAID’s partners improve performance in critical areas leading to measurable results in achieving the organization’s goals and objectives. In undertaking HICD initiatives, USAID Missions will strengthen their partner organizations’ abilities to more effectively perform for their constituents and stakeholders and will increase the effectiveness of ongoing technical assistance provided by the United States Government and other International Donors.

USAID's HICD initiative has adapted methodologies and tools from the field of Human Performance Technology (HPT) to apply them to organizations operating in developing countries. The hallmarks of HICD are:

- HICD views organizations as adaptive systems

HICD views organizations as adaptive systems challenged to constantly respond to the changing environments in which they operate. An organization is comprised of interrelated functions, which are affected by and react to changes in other parts of the organization. Performance of the organization as a whole is analyzed at three different levels: the Organizational Level; the Process Level; and the Individual Performer Level. Optimal performance for any organization is only possible when the organization is in alignment at all three levels of performance.

- HICD uses a systematic approach to analyze organizational performance.

HICD employs a systematic methodology that describes the desired performance state and compares it to the organization's current performance in a specified area, defining and quantifying the performance gap between the two. The gap is then analyzed from the perspective of six primary factors² that affect performance to arrive at recommendations for performance solutions, also referred to as performance solutions (interventions), designed to close the gap.

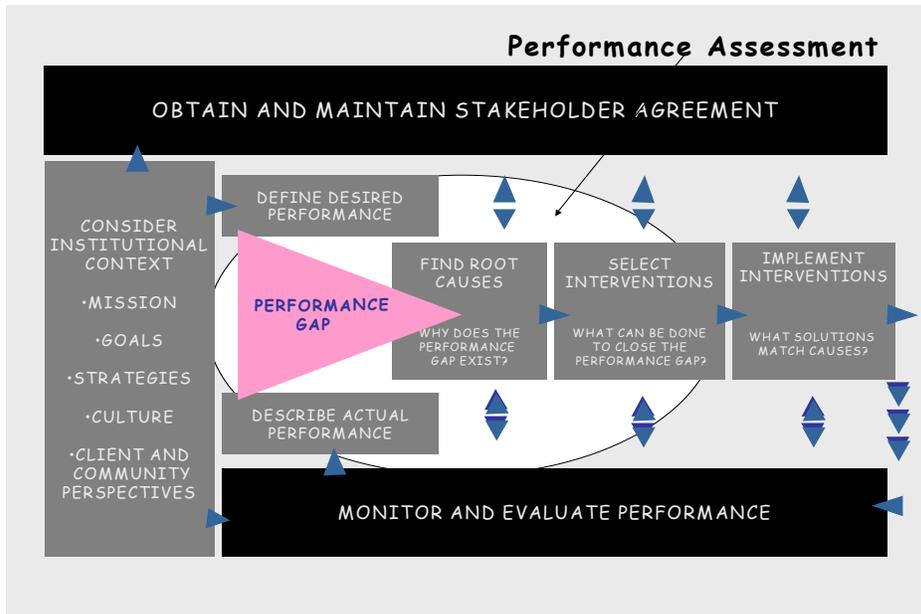
- HICD focuses on tangible, measurable performance improvement results.

For any initiative to be successful, it must produce measurable results. The goal of an HICD initiative is to produce performance improvement results for the organization. Performance measures must be established for all levels of performance within the organization and monitored to ensure that the organization's work is successful. HICD promotes the integration of performance scorecards into its activity designs. Performance Scorecards enable organizations to establish benchmarks for current performance and institute a continuous performance improvement cycle by monitoring performance through the measures established in the scorecard.

1.3.2 Analyzing Current Performance

The HICD framework is based on the following widely used Performance Improvement (PI) model that provides a systematic process for analyzing and improving performance:

² Some Performance Improvement practitioners use alternative models with varying numbers of performance factors. The application of HICD using the ISPI six factor model is not intended to preclude the use of other acceptable models that view organizational performance from a holistic perspective.



Step 1: Consider the institutional context of the performance problem.

Examine the total performance system in which the organization functions including its mission, goals, strategies, and culture of the organization, and the perspectives of clients and communities.

Step 2: Define desired performance in measurable terms if possible.

Desired performance takes into account international or national standards and the perspective of stakeholders. The description of desired performance creates a manageable set of objectives for the process by establishing [key performance indicators](#).

Step 3: Describe actual performance. The description of actual performance as it relates to the defined performance is based on observations and interviews of staff members and clients and on review of records and other documents.

Step 4: Measure or describe the performance gap. The difference between desired and actual performance is the performance gap.

Step 5: Find the root causes of the performance gap. Analyze the reasons for the gap until most basic reasons, or root causes, are identified. Root causes should be linked to the performance factors that affect people in doing their work: Information; Resources; Incentives; Knowledge/Skills; Capacity; and Motives. Linking the root causes of performance gaps to specific factors helps HICD practitioners generate solutions that address the root causes.

Step 6: Select intervention. Consider recommendations for performance solutions to address the root cause of performance gaps and the related performance factors; then rank and select these performance solutions

(interventions) according to cost, benefit, or other criteria. Consideration should also be given to the sequence in which the interventions should be implemented to ensure the greatest impact on the targeted performance.

Step 7: Implement performance solutions (interventions). With support from Stakeholders, as needed, the partner organization implements the selected performance solutions maintaining an environment of transparency and managing the change process by consistently communicating the intended results of the HICD initiative to staff and stakeholders.

Step 8: Monitor and evaluate performance. The partner organization in consultation with its Stakeholders keeps the solutions on track and evaluates performance on an ongoing basis to re-measure the performance gap based on the key performance indicators and assess the effect of the solutions.

HICD is a continuous process. After completing the steps described above, the organization must, on an ongoing basis, continue to identify, analyze and solve performance problems that arise in the course of the organization's business activities. In order to continually meet the needs of its customers, clients, or constituents, every organization must constantly strive to achieve exemplary performance.

1.3.3 Planning New Performance

The section above describes how HICD is applied to current performance problems. The same systematic approach that is used to diagnose and address current performance problems in established organizations can also be used to design and establish new high-performance organizations, organizational units or new business functions within an existing organization.

Applying the same concepts of a total performance organization, HICD experts describe the environment in which the new organization or organizational unit will operate, the desired outcomes (services and/or products) of the new organization or organizational unit, and design the systems required to result in the desired performance. The basic steps taken include the following:

Step 1: Describe the goals of the new organization or organizational unit.

Step 2: Describe all outputs (services and/or products) that the organization will be expected to provide in terms of key performance indicators.

Step 3: Describe all inputs required to produce the desired outcomes. What is needed from other organizations or organizational units within the organization to produce the outputs required? This is done for both the organization overall and for each organizational unit and individual job.

At the organization level this will include all resources required for the organization to do its work, i.e. financial resources, materials, information, statutory rules and regulations, etc.

At the organizational unit level this will include resources provided by other functional units within the organization, i.e. information, requests for services or products produced by the functional unit, budget allocations, personnel assignments, etc.

At the individual job level, this will include assignments, clear and relevant guidelines, resources, etc.

Step 4: *Map out the processes* for the organization overall and for each organizational unit of the new organization.

Step 5: *Describe each job function* in terms of required outputs for the organization to successfully achieve its goals by establishing key performance indicators.

Step 6: *Describe the knowledge, skills, capacity, motives and experience required* for each job within the organization as well as the characteristics of a successful performer.

Step 7: *Describe appropriate incentive systems* for employees including financial and non-financial incentives, appropriate systems for performance measurement and reward systems to reinforce positive performance. Other important incentives for employees include fulfilling jobs and an overall work environment where employees are afforded opportunities to advance their career interests.

The result of the HICD application for designing a new organization or organizational unit will be a roadmap for setting up the organization with guidelines for identifying high-performance workers to fill job positions.

1.4 GETTING STARTED: INTEGRATING HICD INITIATIVES INTO USAID PROGRAMS

HICD can be integrated into USAID programs at any point in a Mission's strategic planning cycle. For Missions at the beginning of the strategic planning cycle, a Cross-Sector Assessment may be used to integrate HICD into the Mission strategy, programs, and activities. If introduced mid-cycle, HICD may be used to complement ongoing initiatives or provide support to partners not already directly benefiting from other Mission activities.

1.4.1 New Strategy: The HICD Cross-Sector Assessment

The HICD Cross-Sector Assessment is a good starting point for Missions wishing to incorporate HICD across their entire portfolios. This assessment will include a review of the Mission's Strategic Framework and analysis of partner organizations to assess the capacity of each potential partner to achieve measurable, sustainable performance results [See [Identify Partner Organizations](#)]. As the Mission then begins to design its development activities, the HICD approach can be written into the scopes of work and work plans for future technical assistance implementers, as well as the cross-cutting FORECAST II contractor. In this way, HICD will be fully integrated into all of the Mission's planned activities.

1.4.2 Mid-Strategy: Augmenting Ongoing Programs

Missions may integrate HICD into an ongoing program at any point in the strategic planning cycle by identifying an appropriate partner organization willing to commit time and resources to an ongoing performance improvement initiative. Through USAID's HICD IQC contract, FORECAST, Missions may access HICD expertise to coordinate and/or provide HICD assistance through a variety of approaches.

- HICD assistance can be delivered as a series of discrete performance solutions (interventions). Using this approach, a Performance Assessment is conducted in cooperation with the targeted partner organization and other Stakeholders. Based on the findings of the Performance Assessment team, the Stakeholders agree on the implementation of recommended performance solutions (interventions). Performance solutions to be funded by USAID may be delivered through the HICD contract or other USAID implementer awards. The HICD contractor will work closely with TA implementers already providing assistance to the partner organization, if any, to ensure that they are actively involved in the HICD initiative. As appropriate, the TA Implementer will modify its work plan to deliver or support the performance solutions recommended by the Performance Assessment Team.
- For multi-year HICD projects, or large-scale HICD projects, such as an HICD initiative targeting an entire Ministry or multiple organizations within a sector, Missions may elect to fund short or long-term HICD advisors through the HICD contract as an alternative to conducting an up-front performance assessment. These HICD advisors are experts in the field of Human Performance Technology and can work with a Mission on its overall portfolio, in a specific sector, or may be assigned or seconded to a specific partner organization. The HICD advisor will conduct performance assessments on an ongoing basis to analyze performance problems identified by the partner, USAID, and/or other stakeholders. As root causes are identified, the HICD advisor recommends and designs performance solutions, which are then implemented by the HICD advisor, the TA implementer or by other experts engaged through the HICD IQC contract.

- An HICD advisor can provide HICD support on an intermittent basis to a single partner or even several partners. The HICD Advisor conducts an initial performance assessment, with support as needed, and returns periodically to implement recommended performance solutions and/or to monitor performance against agreed upon performance measures as performance solutions are delivered using other HICD experts contracted through the HICD IQC contract.

1.4.3 Planning the HICD Initiative

Missions or other operating units wishing to implement HICD initiatives should plan the initiatives carefully in order to ensure success. Once a partner organization is selected, it is important to document as much information as possible about the organization, the environment in which it operates, its mandate, outputs (products and services), constituents, and performance issues to be targeted as well as any technical assistance being provided to the organization by other external stakeholders, including other USAID implementers or other Donors. HICD initiatives should be carefully coordinated with activities of other external stakeholders to avoid conflicting or competing demands on the organization for its time and resources. Close coordination also provides an opportunity to leverage other donor resources if available.

The EGAT Bureau has developed the following tools that may be used to plan an HICD initiative with one or more partners.



HICD Tools & Templates:

[HICD Initiative Planning Tool](#) (See Appendix 1.1). This tool is designed to collect information on up to eight partner organizations under consideration for an HICD

initiative. Information collected relates to the goals, timing and funding allocated to the HICD initiative. Basic information is also collected to show the connection between Partner performance and the HICD initiative goal. This tool may be used in connection with the Partner evaluation tool described in section heading “[Identify Partner Organizations](#)” found below.



HICD Tools & Templates:

[HICD Partner Information Collection Tool](#) (See Appendix 1.2). This questionnaire is designed to guide Missions in collecting information related to a selected

Partner organization including the type of organization (for-profit, non-profit, government, professional association), mandate, size, and location. Suggested questions for stakeholders are provided to gain a broad understanding of the organization’s performance challenges. Stakeholders may include TA implementers and other donors.

1.4.4 Preparing the Partner for an HICD initiative

A desirable partner candidate will have a strong, stable leader who is committed to providing high quality services and products to the organization’s constituents in accordance with the organization’s mandate. Ideally, the partner organization has a well-articulated mandate, mission and vision with established and measurable performance goals. Many of USAID’s partners are in the nascent stages of

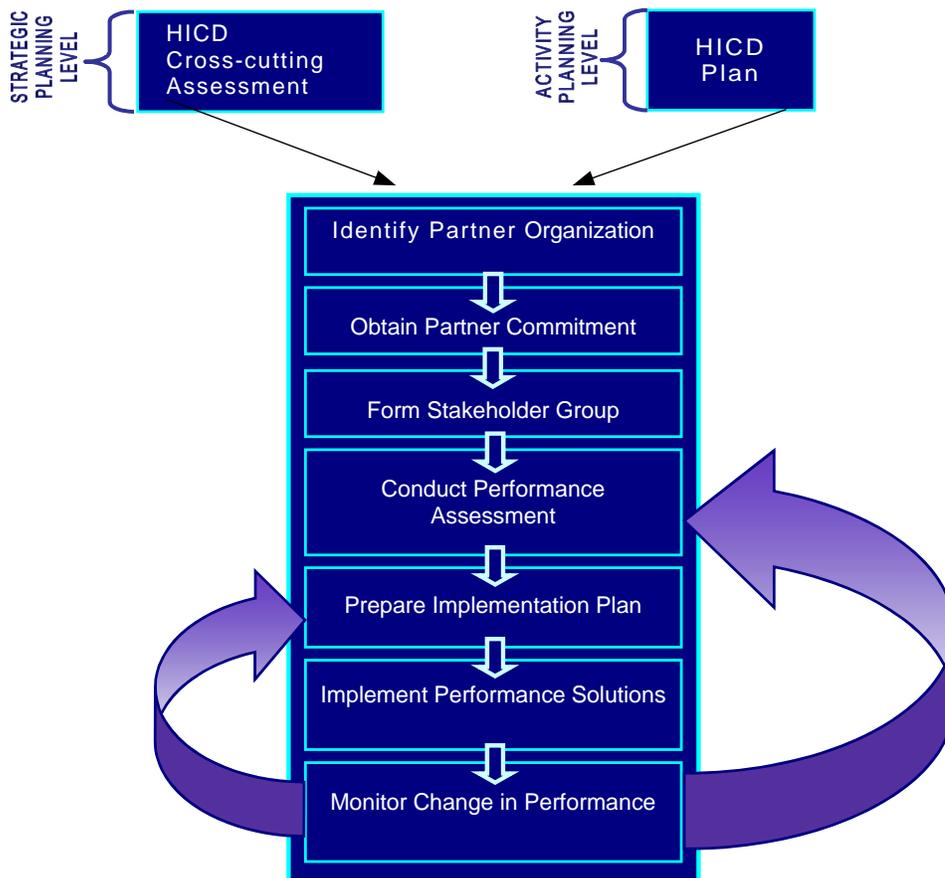
development and may be striving to achieve even these basic criteria. Such organizations may need some preliminary assistance to prepare them for an HICD initiative. Preparatory activities for such organizations may include a workshop providing an overview of HICD, sessions with expert facilitators to work with the organization on developing or clarifying strategy and goals, or other preparatory activities.

Since the success of any HICD project is dependent on the extent to which the organization's management "owns" or "buys into" the HICD process, it is imperative that the performance challenges identified by the partner, that is those areas where the organization is "feeling the most pain", are the same performance challenges identified by the stakeholders, and the Mission who will be providing support to close the performance gaps. In cases where there is significant discrepancy between the two, a first step of HICD may be working with the organization to construct the value chain or total business performance system that identifies the services, products and other outputs produced by the organization, the organizations constituents, and performance measures that will reflect desired performance standards.

1.5 IMPLEMENTING THE HICD PROCESS

Using USAID's HICD process, illustrated on the following page, Missions can focus on strengthening partner organizations that are key to achieving the Mission's strategic and legacy goals and assisting these organizations to integrate/institutionalize a continuous cycle of performance improvement processes to ensure continued success in future performance cycles.

The HICD Process



Most of a Mission’s strategic host country partners are identified through the regular strategy planning cycle and processes.

Through an overall or series of sector-specific assessments, the challenges and needs of these organizations are well documented in terms of what each organization’s mandate and goals are or should be. HICD builds upon this approach to development by introducing analysis of organizational or operational performance into the overall Mission planning for support.

HICD provides a proven methodology for examining performance gaps, those areas where the organization is not performing satisfactorily, and designs performance solutions (interventions) to close those gaps and improve performance and constituent satisfaction.

1.5.1 Identify Partner Organizations

Objective: Select partner(s) committed to improving performance in areas of strategic interest to USAID.



How it's done:

Currently, Mission Program Offices are, for the most part, taking the lead in introducing HICD into the Mission Development Assistance Portfolio. With support from the HICD Contractor, Program Office staff may work with the Mission's SO teams to identify organizations that may benefit from an HICD initiative. Through the HICD contractor, HICD experts can be engaged, as needed, to conduct preliminary analysis of potential HICD partners. The EGAT Bureau HICD contract COTR and Support Team is also able to provide some assistance in the identification of appropriate partners and defining the scope of the HICD project in terms of the organization's performance gaps and the alignment of those gaps to the affected USAID Strategic Objectives.



Some Things to Consider:

Here are some things to consider when selecting partner organizations for an HICD initiative:

1. Characteristics of a potentially successful HICD partner. When selecting a partner for an HICD initiative consideration should be given to the following:
 - If successful, what will the value be to USAID's strategy and legacy objectives? What is the expected impact of the organization's improved performance on the mission's program including sector impact, economic impact, policy impact, or social impact?
 - What are the prospects for success and sustainability of the organization?
 - What synergies exist with other technical assistance implementers, if any are currently working with the organization? What opportunities exist to leverage resources available from other donors? Conversely, will an HICD activity conflict or compete for resources with another activity sponsored by USAID or another donor?
 - Has the organization demonstrated a commitment to a potential HICD initiative as expressed through its interest in and enthusiasm for working on its own business or administrative performance challenges? Has the organization offered to provide any resources to support an HICD initiative such as personnel, space, etc.?
2. Alignment of the Partner's goals with USAID's strategic interests. Many USAID projects fund advisors to provide expert advice to senior managers in partner organizations. In contrast, the HICD approach relies on facilitating change within the organization, with senior managers of the organization taking the lead in establishing performance goals and objectives and relying on the HICD expert(s) to identify barriers to achieving success. Consequently, the goals and challenges, as viewed by the partner must be in alignment with the goals and challenges as seen from the perspective of USAID and other stakeholders. If there is a conflict between the two, some preliminary activity may be required to align these two critical visions for the organization.
3. Engaging other USAID Technical Assistance (TA) Implementers. TA implementers working with the targeted partner organizations can be valuable

allies in conducting the preliminary performance analysis. In particular, those TA implementers with a long-standing relationship with the partner organization can provide insights into the organization's culture and operational identity which will inform the preliminary analysis and lead to future success in integrating HICD activities into the TA implementer's ongoing activities.

When considering an HICD activity with an organization that is already working with a TA implementer, the Mission should make every effort to ensure that the TA implementer is willing to "buy-in" to the HICD process and work collaboratively with the HICD contractor and assessment team to implement the recommended performance solutions.

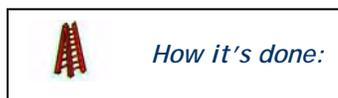
4. **"Go/No Go" Decision.** After considering all of the factors described above, the Mission, in consultation with the HICD contractor, will make a go/no go decision regarding each Partner Organization considered. In those cases where it becomes apparent that the Partner will not be committed to the HICD process, it is better to focus USAID's resources on an activity that will ensure a greater chance of success. In this way, HICD can also be a helpful tool for making funding decisions to ensure maximum impact of the Mission's activities.



See Appendix 1.3 – [HICD Tool for Evaluating Multiple Partners](#), for a tool to use in evaluating and ranking potential HICD partners.

1.5.2 Obtain Partner Commitment

Objective: To secure the selected partner's commitment to engage in and follow through with the HICD initiative.



Securing the partner's commitment to the HICD initiative may be accomplished through a series of meetings explaining the HICD methodology and mutually exploring performance areas to be targeted. As appropriate, a Memorandum of Understanding may be executed by USAID, the partner organization, and any other participating Stakeholders as a way to capture the agreement of the parties in writing to jointly undertake an HICD initiative. The Memorandum of understanding will address:

- The HICD process and goals;
- The responsibilities of the parties in terms of what resources will be required from each;
- The expected results;
- The involvement of other Stakeholders in the Performance Assessment and implementation of agreed upon performance solutions; and
- The planned timeframe for conducting the HICD initiative



Here are some things to consider when securing a Partner’s commitment to HICD.

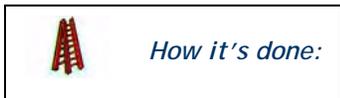
1. In securing the partner’s commitment to an HICD initiative, USAID should ensure that the initial organizational structure, changes in lines of reporting, process reengineering, realigning incentive systems, etc. To ensure that the partner will remain committed to an HICD initiative through difficult changes, the initiative should clearly target a performance challenge or challenges valued by the partner organization, challenges that the organization itself recognizes must be solved to achieve critical goals.
2. Missions should also consider building stages into the HICD implementation process at which time both the Mission and the Partner can review progress and make decisions as to whether or not to continue funding HICD interventions contingent upon the Partner’s continuing commitment to the process. These stages should be clearly delineated in the MOU along with the Partner’s responsibilities for meeting the requirements of each stage.



See Appendix 1.4 for a [Sample MOU](#) for an HICD initiative.

1.5.3 Form Stakeholder Group

Objective: To establish a support group to guide and assist the partner throughout the HICD process.



As part of the HICD process, USAID (or, the HICD contractor, as requested) will assemble a Stakeholder group and work with the partner organization to convene periodic meetings.

These meetings will serve as a forum for providing feedback to the partner on the HICD process, including the selection and funding of recommended performance solutions and evaluation of HICD results.



The primary members of the stakeholder group are management and key staff from the Partner organization. Other members may include:

1. Mission Staff - SO team leaders, Program Officer and/or mission’s HICD POC, and activity manager(s);
2. HICD Contractor – key staff most familiar with partner organization and/or sector and Country Director or other HICD expert staff;
3. Technical Assistance Provider(s) – Chief of Party (COP) or designee, and key staff most familiar with partner organization and/or sector;
4. Other Key Donors – representatives most familiar with partner organization and/or sector;

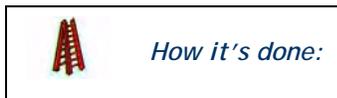
5. Government Agencies or Other Organizations identified by the partner organization as being key to its success.



See Appendix 1.5: [Stakeholder Group Formation](#), for a tool that can be used to set up the stakeholder group.

1.5.4 Conduct Performance Assessment

Objective: To assist the partner organization in articulating its organizational goals and objectives, as needed, and to compare current performance levels to optimal performance levels, designing performance solutions to close any identified performance gaps. As a result of the Performance Assessment, the partner organization will receive a written report detailing the findings of the assessment team, along with the team's recommendations for performance solutions.



The HICD contractor will take the lead in developing a scope of work for the Performance Assessment, providing USAID with recommendations on the constitution of the assessment team, and contracting with HICD experts, including local experts if available, to conduct the assessment. The HICD contractor will also be responsible for coordinating the assessment with USAID and the partner organization, as well as arranging for meetings with other external stakeholders as needed. HICD contractor staff should be included on the PA team to facilitate the transition from the PA phase to the Intervention Implementation stage. Upon completion of the assessment, the team will prepare a report complete with performance analysis, assessment findings, and recommendations for performance solutions to address the needs of the organization.

In conducting the Performance Assessment, the PA team will use a wide array of information gathering activities to identify organizational goals and analyze actual performance of the organization in meeting those goals. Information gathering activities may include:

- one-on-one interviews
- focus groups
- surveys
- questionnaires
- organizational mapping sessions
- review of key documents, i.e. laws or ad hoc expert opinions

The team will describe optimal performance in key areas and document actual performance within those areas. In consultation with the partner organization's Senior Management, the team will determine which organizational goals are of highest priority to the organization and will focus its efforts on analyzing performance related to achieving these goals.



Some Things to Consider:

Here are some things to consider when planning a Performance Assessment:

1. Members of the Performance Assessment team. A PA team will generally consist of:
 - A Team Leader with expertise in Human Performance Technologies (a Certified Performance Technologist (CPT) is desirable but not mandatory);
 - A sector expert, ideally one with experience in the region and knowledgeable of models used in other countries;
 - A local consultant, if one is available who has a background in Human Performance Improvement, Organizational Development, or other related discipline;
 - A member of the HICD contractor staff with a background in Human Performance Improvement, Organizational Development, or other related discipline; and
 - One key staff member from the Partner Organization who is well placed within the organization to introduce the principles of HICD into the organization's ongoing practices.

2. Inclusion of TA implementers in the Performance Assessment. The PA team should take full advantage of the knowledge and experience of the TA implementer staff that has an ongoing relationship with the partner organization. The TA implementer's technical expertise will complement the HICD analysis and lead to technically sound performance solutions (interventions) with the greatest chance for continuing cooperation and success. When working with organizations with which USAID does not have a technical assistance implementer, the assessment team should include a consultant who has technical expertise in the sector and in the country or region.

3. Ensuring independent analysis. The Mission, external stakeholders, and cooperating TA implementers, if any, should take care to allow the PA team to independently examine the performance of the partner organization. It is important that all Stakeholders, including USAID staff, reserve judgment on the preliminary findings of the PA team. While it may seem apparent what underlying problems are contributing to unsatisfactory performance within the partner organization, critical factors affecting performance might be overlooked if the PA team is not given sufficient latitude in conducting its review.

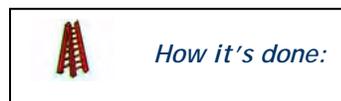


HICD Tools & Templates:

See Appendix 1.6, [Performance Assessment Request](#), for a tool to request a performance assessment through the HICD contractor.

1.5.5 Prepare Implementation Plan

Objective: To develop a plan for implementing agreed upon recommendations of the Performance Assessment Team.



Upon review and consideration of the findings of the Performance Assessment Report including recommendations for performance solutions, the partner organization, in consultation with and support from participating Stakeholders, will select the recommended performance solutions proposed by the Assessment. Once the performance solutions have been identified, priced, and agreed upon, an HICD Implementation Worksheet should be developed along with a timeline and appropriate performance measures for completing the initiative. The HICD Implementation Worksheet will be incorporated into Component II of the HICD Plan when it is compiled. With appropriate performance measures in place, and data collection systems developed or established, measuring the success of the HICD process will be a matter of reviewing the data related to the established performance measures.



Here are some things to consider about preparing the implementation Plan:

1. Selecting performance solutions. Because HICD is a holistic process, Missions should take care not to pick and choose from among those performance solutions recommended by the assessment team. Chances of closing a performance gap are highest when all root causes affecting performance are addressed.
2. Funding performance solutions. Not all performance solutions are costly interventions. Depending on the root causes identified, some solutions may be a matter of the partner making simple adjustments to its processes or policies. If a partner is truly committed to the HICD process, it will be eager to make its own resources available to improve performance in areas of greatest concern.
3. Building in incentives to implement performance solutions. Missions should consider establishing incentives for the partner organization to remain engaged at critical stages of the HICD process so that the Mission can continue with HICD funding as benchmarks are reached, or delay or even cancel funding if follow-through is not happening. Building incentives into the implementation process enables Missions to redirect HICD resources if the Partner fails to meet its responsibilities as defined in the MOU.
4. Reinforcing “ownership” of the HICD initiative with the partner. To ensure that the partner organization remains committed to implementing the appropriate performance solutions, the Partner should take the lead in making implementation decisions as the primary member of the Stakeholder Group. If

the preliminary HICD analysis establishes clear alignment between the performance gaps, the partner organization’s organizational goals and USAID’s Intermediate Indicators and Strategic Goals, there should be no problem in allowing the partner organization to take the lead in this decision-making process.

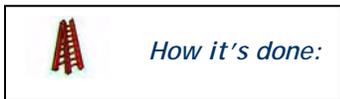
5. Implementation MOU. Some Missions have found it helpful at this point to develop a second MOU based on the HICD Implementation Worksheet to define the responsibilities of the parties in moving forward to implement the recommendations of the Performance Assessment Report.



See Appendix 1.7, [HICD Implementation Worksheet Template](#), for a tool to help design the HICD implementation Worksheet.

1.5.6 Implement Performance Solutions (Interventions)

Objective: To provide support to the partner organization in implementing the agreed upon recommendations of the Performance Assessment Team.



Depending on the resources available, the performance solutions may be implemented by the partner organization itself, the TA implementer, or the HICD contractor. The HICD contractor or the T.A. implementer should take the lead in working with the partner organization to implement the agreed upon performance solutions. If funding for the HICD initiative is provided through funds obligated to the HICD contract, the HICD contractor will further refine the intervention requirements and contract for the required services and/or commodities. If funding is provided through the T.A. implementer, that organization will take the lead with support from the HICD contractor to ensure that the performance solutions provided meet the established HICD requirements.



Here are some things to consider when implementing the HICD performance solutions:

1. Types of performance solutions. An implementation worksheet often contains both training and non-training performance solutions. Activities will be designed to close performance gaps related to the identified performance factors which may relate to any or all of the six HICD factors:

INFORMATION	RESOURCES	INCENTIVES
KNOWLEDGE/SKILLS	CAPACITY	MOTIVES

For instance, training is an intervention designed to address a performance gap related to *skills and knowledge*; restructuring an organization's compensation package is an intervention designed to address a performance gap related to *incentives*.

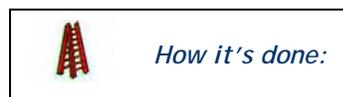
2. Coordinating sessions of the Stakeholder Group. Whichever contractor is taking the lead in implementing performance solutions (interventions), will also have responsibility for coordinating regular meetings with external Stakeholders and where opportunities exist, leveraging resources of other donors to support the HICD process. In those cases where Missions task the HICD contractor with monitoring and coordinating the Mission's HICD initiatives, this arrangement should be included in the Mission's HICD/Participant Training Mission Order.



Tools for requesting different types of Performance Solutions are available in Part 2 of this Handbook, Intervention Implementation and also in Appendix 1.9.3, [Component 3](#) of the HICD and Crosscutting Activity Plan.

1.5.7 Monitor Change In Partner Organization's Performance

Objective: To assist the partner organization in monitoring its accomplishments in accordance with performance goals targeted through the HICD initiative. The performance monitoring system may also include other performance goals and objectives identified by the partner.



As part of the assessment process, the Performance Assessment team will examine the partner organization's existing performance measurement systems and methodologies and help the organization establish a system

through which it can evaluate the success of the HICD initiative by measuring actual performance against the targeted organizational goals. Instituting or formalizing a performance measurement system provides another opportunity to transfer the principles and practices of HICD to the Partner organization.



Here are some things to consider when determining how best to monitor the partner's performance improvement accomplishments:

1. Participation of partner staff. The participation of a key staff member from the partner organization as a member of the Performance Assessment team promotes the ongoing use of the HICD approach to address challenges identified in future performance cycles. Through its participation in the HICD process, the partner organization is exposed to the principles of HICD and in particular the results-oriented aspects of the HICD methodology.
2. Enhancing the transfer of HICD practices to the partner organization. As part of the HICD initiative, USAID may wish to sponsor workshops for the partner

organization's staff to enhance the transfer of HICD practices to the partner's own operating procedures.

3. **Monitoring success.** USAID will monitor the success of the HICD initiative by tracking the partner organization's success in achieving its goals and objectives. USAID may wish to consider providing additional resources to the partner organization to address performance gaps it identifies through its own HICD initiatives in future cycles.



For information on developing performance scorecards see Appendix 1.8, [Measuring Results](#).

1.6 THE MISSION HICD & CROSSCUTTING ACTIVITY PLAN

1.6.1 Purpose

The Mission HICD & Crosscutting Activity Plan is a plan that is developed on an annual basis and updated more frequently as needed to describe all aspects of the Mission's HICD and crosscutting activities. The plan illustrates expected spending levels for HICD and crosscutting activities planned for the current fiscal year, and subsequent years to the extent that information is available. The plan establishes a basis for allocating or setting aside funding for HICD and crosscutting activities and may discuss criteria for carrying over HICD funds from one year to the next depending on the scope and success of each HICD initiative.

The HICD plan is a strategic document linking planned initiatives to the overall Mission strategy.

1.6.2 Format

The Mission HICD & Crosscutting Activities Plan is comprised of three components:

- **Component 1 - The Executive Summary**

This component describes how HICD and other crosscutting activities fit into the USAID country strategy, outlines the key elements of the country strategy for this period, and summarizes three categories of HICD activities:

- Those institutions that have already been identified and assessed, and for which performance solutions (interventions) have been recommended;
- Those institutions that have had a preliminary assessment, and have been recommended for a full HICD assessment; and
- Those sectors or institutions that have been identified for potential HICD assessment.

The plan also describes other crosscutting activities to be funded that are not directly tied to HICD, including activities funded as part of the Mission's Community Connections program, if applicable.

- **Component 2 – The Summary Table:**

This component tracks financial data and planning cycle information on all HICD interventions and other crosscutting activities. The summary table is divided into three parts:

Part 1 – HICD Initiatives - is organized by institution and delineates all planned performance solutions with associated timelines and estimated budgets. The summary table can be derived from each organization's HICD Implementation Worksheet.

Part 2 – Other Interventions - delineates non-HICD activities to be funded by the Mission during the year. These may include:

- Training
- Entrepreneurial Management Training
- Academic Education
- Small grants
- Technical assistance
- Commodity purchases and
- Other activities described in Chapter 2 of this Handbook

Part 3 – Community Connections – delineates Community Connections activities planned. This part should be used by Missions in Eurasia and any other Missions with self-funded Community Connections type programs.

- **Component 3 – Activity Implementation Forms**

This component is a compilation of all activity implementation forms. It is organized into three Parts that correspond to HICD Plan Component 2 as follows:

Part 1 – HICD Initiatives. Part 1 is broken down by organization and contains, at a minimum, the following information related to each:

- General Information including:
 - Partner name
 - Partner contact information
 - Estimated cost of HICD initiative
 - Targeted Performance areas
 - Primary HICD implementer (HICD contractor or TA Implementer); and
- All applicable HICD implementation forms including:

- HICD planning tools
- HICD evaluation tools
- Memorandum of Understanding
- Stakeholder Group Formation tool
- Performance Assessment Request
- Performance Assessment Report
- HICD Implementation Worksheet
- All Performance Solution Request Forms

Part 2 – Other Interventions. Part II is a compilation of Performance Solution Request (PSR) forms related to other crosscutting activities identified using methodologies other than the HICD methodology. These forms may be organized by Strategic Objective, Sector or other logical grouping of relevance to the Mission.

Part 3 – Community Connections. Part 3 is a compilation of Visitor Exchange Request forms (VERFs) related to the Mission’s Community Connections program. These forms may be organized by Strategic Objective, Sector or other logical grouping of relevance to the Mission.

The HICD Plan is a valuable tool enabling Missions to plan and budget for all HICD activities, other crosscutting activities, and activities funded through the Community Connections program. It provides documentation of planned activities that can be used to justify the obligation of funds for a full year. The plan also consolidates the information described above into one comprehensive document with references to the Mission strategy that can be made available to Mission management for decision making purposes.



Below are links to templates for each of the HICD & Training Plan components.



See Appendix 1.9.1 for a sample of [Component 1: Executive Summary](#)



See Appendix 1.9.2 for a sample of [Component 2: Summary Table](#)



See Appendix 1.9.3 for a sample of [Component 3: Activity Implementation Forms](#)

1.7 Final Notes

HICD offers a methodology for designing programs to strengthen USAID partner organizations as they strive to meet the needs of their constituents. Through systematic analysis of the organization as a whole and the environment in which the organization functions, HICD produces measurable results for the organization and for USAID.

The following references offer additional sources of information on human performance improvement. The appendices to this chapter provide tools and templates to enable users to begin integrating HICD into their new and ongoing programs. If you have any questions regarding this Handbook, or any aspect of HICD contact Ethel Brooks, FORECAST II IQC COTR, EGAT/ED, by telephone at 1-202-712-0496 or by email at ebrooks@usaid.gov,

1.8 REFERENCES

1.8.1 HICD and HPT Websites

For more information on Capacity Development, Human Performance Technology, and Performance Improvement you may visit the following websites:

www.capacity.org

http://www.reproline.jhu.edu/english/6read/6pi/pi_FAQ.htm#8

<http://www.prime2.org/sst/index.html>

<http://www.ispi.org>

<http://www.astd.org>

1.8.2 HICD Terminology

Constituents – the population that is served by an organization – the organization’s “customers”.

HICD – Human and Institutional Capacity Development

HPT – Human Performance Technology

Key Performance Indicators (KPIs) – are quantifiable measurements that reflect the critical success factors of an organization. KPIs are also referred to as performance measures or Key Success Indicators (KSIs).

Partner Client – the individual within the Partner organization with the ability and willingness to use their directive leadership authority to effect change within the organization. The Partner Client must, at a minimum, have authority to effect change in the organizational unit targeted by the HICD initiative.

PA – Performance Assessment

PI – Performance Improvement

Partner Organization – when used in the HICD context, a Partner Organization is the host country organization considered and/or selected for an HICD initiative. Some Missions are also using the term “Target Institution”.

Stakeholders – individuals or groups that are affected by an organization and can influence it but who are not directly involved with doing the work. When used in the HICD context, external stakeholders are individuals and groups outside of the organization and internal stakeholders are individuals or work units within the organization that are affected by the HICD activities.

USAID Client – the individual within the USAID requesting unit who will be the primary point of contact for the HICD initiative.



Appendix 1.1 HICD INITIATIVE PLANNING TOOL

MISSION:		Mission Contact:	
		Phone:	Email:
Goal(s) and Sector(s) of the HICD Initiative:			
How will the success of this initiative be measured overall?			
Strategic Objectives:		Intermediate Results:	
1.		1.	
2.		2.	
3.		3.	
Timing:		Estimated Budget:	
HICD Contractor or TA Implementer <i>(What USAID implementer will be the primary vehicle for providing HICD assistance?)</i> :			
Partner Organizations to be targeted: <i>(What host country organizations play key roles in achieving the overall goal(s) of the HICD Initiative?)</i>			
1.			Org 1. Profile Link
2.			Org 2. Profile Link
3.			Org 3. Profile Link
4.			Org 4. Profile Link
5.			Org 5. Profile Link
6.			Org 6. Profile Link
7.			Org 7. Profile Link
8.			Org 8. Profile Link
HICD Process Tracking: <i>For additional information see the HICD Chapter of the Practitioner's Handbook.</i>			
	Contract for HICD Support		Conduct Performance Assessment
	Evaluate and Select Partners		Prepare Implementation Plan
	Obtain Partner Commitment		Implement Performance Solutions
	Form Stakeholder Group		Monitor Change in Performance

PARTNER 1 PROFILE

Name of Organization:			
City & Country:		Date Established:	
		Total Staff:	
Type of Organization:		Government ____ NGO ____ Association ____ For Profit ____ Other ____	
Mission or Mandate:			
Contacts:	NAME	POSITION	PHONE
1.			
2.			
3.			
OFFICES:	CITY	# STAFF	POC
Headquarters			
Field Office 1			
Field Office 2			
Targeted Performance Areas:		Performance Measures:	
1.			
2.			
3.			
4.			
5.			
6.			
Other TA Implementers Supporting this Partner:		Nature of TA support being provided:	
1.			
2.			
3.			
4.			



Appendix 1.2 - HICD PARTNER INFORMATION COLLECTION TOOL

Name of Organization:				
City & Country:		Date Established:		
		Total Staff:		
Type of Organization:		Government ____ NGO ____ Association ____ For Profit ____ Other ____		
Mission or Mandate:				
Contacts:	NAME	POSITION	PHONE	
1.				
2.				
3.				
OFFICES:	CITY	# STAFF	POC	PHONE
Headquarters				
Field Office 1				
Field Office 2				

Part I. - Questions for USAID Technical Office

1. What is (are) the primary mandate(s) or organizational goal(s) of this organization?
2. What does USAID see as this organization's greatest challenges to achieving its organizational goals and fulfilling its mandate (internal and external)?
3. How does or should the organization measure its success in achieving its organizational goals?
4. Describe the managers and/or primary decision makers of this organization.
5. Describe ongoing and/or prior technical assistance (TA) provided to this organization and attach a copy of the SOW for any ongoing TA.
6. Please provide any of the following (or comparable) documents that are available for review:
 - a. ____ Organizational Mission or Vision Statement
 - b. ____ Strategic Plan
 - c. ____ Organizational Chart
 - d. ____ TA Implementer SOW
 - e. ____ Recent Sector/other Assessments related to this Organization
 - f. ____ Other(Please specify)

PART II. - Questions for Stakeholders

Sample Memo Requesting Stakeholder Input on an HICD initiative.

Subject: USAID Human and Institutional Capacity Development Initiative With
(Name of Partner Organization)

Dear _____:

USAID is interested in conducting a Human and Institutional Capacity Development (HICD) assessment of (NAME OF PARTNER ORGANIZATION). Through this assessment we hope to assist this organization in identifying areas for potential performance improvement tied to the organization's primary business/organizational goals. The assessment findings will include suggested solutions to enable the organization to move closer to optimal performance in the targeted areas. Your participation in this assessment is vital to ensuring that any HICD interventions contemplated are fully integrated into ongoing technical assistance activities in which you may be involved. Please respond to the following questions and provide any additional insights that you think may be helpful in conducting this assessment. I am available to respond to any questions or concerns you may have about this initiative. Thank you for your participation.

Sincerely,

[Name of USAID Sponsor]

1. How long has your organization been working with/ supporting/ associated with (Partner Organization)?
2. Please briefly describe your work with, support for, and/or relationship with (Partner Organization).
3. What is (are) the primary mandate(s) or organizational goal(s) of this organization?
4. What do you see as the greatest challenges (internal and external) to (Partner Organization)'s ability to achieve its organizational goals and fulfill its mandate?

Internal:

External:

5. How does or should this organization measure its success in achieving its organizational goals and fulfilling its mandate?
6. What do you see as the key factors that contribute to each of these metrics?
7. What other observations would you like to share about this organization?

PART III. - Questions for the Partner Organization

This questionnaire should be completed by the candidate organization after initial contact has been made by USAID to lay the groundwork for the organization's participation in an HICD initiative.

1. What are your organization's most critical organizational goals?
2. What work groups within your organization are most responsible for achieving success for each of these goals?
3. What do you see as the greatest challenges (internal and external) to meeting those goals?

Internal:

External:

4. How does your organization measure its success in achieving these goals?
5. What do you see as the key factors that contribute to each of these measures?



USAID
FROM THE AMERICAN PEOPLE

Appendix 1.3 HICD Tool for Evaluating Multiple Partners

[Name of Organization]

[Mandate]

Form completed by: [Name]

Date: [date]

Criteria	Comments	Score
1. Value to USAID Mission's Strategy & Legacy 0 to 5		
2. Can Remain Sustainable 0 to 5		
3. Minimal potential conflict from overlap with SOW of other USAID Implementing Partner (IP) or Other Donor 0 to 5		
4. Institution is Committed and Able to Change, with a Stable Leadership 0 to 5		
Aggregated Score		

- Scoring System:
- 0 - does not match the criteria
 - 1 - barely matches the criteria
 - 2 - somewhat matches the criteria
 - 3 - a reasonable match of the criteria
 - 4 - matches the criteria well
 - 5 - matches the criteria in every respect

Institutions that score a 0 under any criteria are automatically disqualified for further consideration.

The maximum score possible is 20. Institutions should receive a score of at least 16 (75%) to be considered for the HICD program.

Other Comments:

(This will be conducted during the Nomination process. Its purpose is to gather information on the type of assistance that is already being offered to the institution by USAID contractors and other donors - see Criteria # 3)



Criteria for Assessing Potential Partner Institutions- Template Guidance

1. Its Value to the USAID Mission's Strategy & Legacy: Here we answer the questions: a) Is this an institution which could be a "flagship" of USAID legacy? b) Is it important to USAID strategy?

2. Whether It Can Remain Sustainable: This reflects the probability that the institution will continue to be viable, and that it has a good probability of success, following USAID support via HICD. An institution whose existence is in question, because of a new law for example, would be a questionable HICD investment.

3. Potential conflicts from overlap/overcrowding with SOW/technical-assistance of other USAID Implementing Partner (IP) or Other Donor: On the one hand, HICD can benefit much from the experience of an existing USAID project working closely with the Partner, and the same applies for other stakeholders such as other international donors. However, if an Implementing Partner has a capacity building activity with the Partner Organization as part of its SOW, or if the Partner Organization is being supported by many interventions from different donors, two possible problems may arise: a) HICD is overlapping over another project, and conflicts of interest arise; b) many other technical assistance interventions are competing for the institution's attention, together with HICD. An HICD intervention will have a much higher probability of success if either one of those two problems does not exist. Determine whether HICD is part of the SOW of the other implementer, and, if not, whether the other implementer is open to the idea of working with an HICD contractor.

4. The Partner Demonstrates a Commitment to Change and the Ability to Change.

This is a subjective assessment, based on the Mission's prior experience with the Partner Organization, or from other parties (other USAID Implementing Partners), and suggests whether the Partner is known to be change-averse or open to change. Overall, a change-averse organization will increase probability of HICD failure. Following from this is the question of whether there are incentives for the institution to change: the incentives can be internal (e.g. management and staff understand that the institution cannot survive unless it changes), or external (e.g., integration into the EU or meeting EU standards requires immediate change). Does the institution have a stable leadership, with direct authority over targeted performance areas? Is there a convergence between the Partner's goals and USAID's?



Appendix 1.4 Memorandum of Understanding (MOU) Template

MEMORANDUM OF UNDERSTANDING

BETWEEN

THE UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

HUMAN AND INSTITUTIONAL DEVELOPMENT PROGRAM

AND

[INSTITUTION]

1. PURPOSE

This Memorandum of Understanding and Cooperation (“MOU”) describes the working relationship between the USAID Human and Institutional Development Program (“USAID”), managed in [country] by [Implementing Contractor] and the [Institution]. It is signed with the purpose of facilitating efficient and coordinated cooperation between USAID and [institution], with the ultimate goal of improving the [institution’s] organizational performance in critical areas, according to measurable indicators.

2. CONTEXT

Under the [name] contract, and on behalf of USAID, [implementing contractor] will implement Human and Institutional Capacity (HICD) initiatives. The aim of HICD is to improve the performance of selected institutions, deemed key to both [country’s] future and USAID’s strategy. Following the signing of this MOU, and the formation of a Stakeholder Group (see description in section 5), a full and independent performance assessment of [institution] will be conducted at both the institutional and the work group level to identify any performance gaps and their root causes, and to recommend solutions to close targeted performance gaps. It is intended that the successful implementation of the recommended performance solutions will lead to measurable results in achieving organizational goals.

3. RESPONSIBILITIES OF USAID

USAID, working in collaboration with its implementing partner [implementing contractor] will:

- Undertake an assessment of [institution’s] performance. This will be conducted by a team of HICD experts who will work with [institution] to identify performance gaps and their root causes. This assessment will be conducted at three levels: organization, working processes, and workers.
- Develop a summary of key findings and recommendations for addressing the root causes of the performance gaps
- Make recommendations for an Intervention Package and outline the resources required to close the identified performance gaps
- Set clear directions and provide necessary guidance to [institution] on how to act on the findings of the performance assessment
- Organize periodic meetings of the Stakeholders Group to review, advise, and monitor the process

4. RESPONSIBILITIES OF [PARTNER]

[PARTNER] agrees to support the performance assessment. Specifically, the [PARTNER] will:

- Designate a staff member to serve as the liaison between USAID and its implementing partner and [PARTNER]

- Designate a staff member to represent [PARTNER] within the Stakeholders Group and who will be given the authority to make decisions on behalf of the [PARTNER]
- Facilitate contact between members of the [PARTNER] management/staff and the Performance Assessment Team hired to conduct an assessment of the [PARTNER] performance
- Cooperate fully with the Performance Assessment Team, including making the [PARTNER] management/staff available for person-to-person interviews and group meeting
- Allow the Assessment Team to have access to [Partner's] organizational charts, job descriptions, and management policies and procedures

5. STAKEHOLDER GROUP

This HICD activity embraces a cooperative approach that elicits and integrates voluntary input from all stakeholders that have a vested interested in institutional performance improvement at [PARTNER]. These stakeholders will form a Stakeholders Group that will meet periodically, with a reviewing, advisory and monitoring role on both the performance assessment and the recommended solutions. Final decisions on any action that necessitates a financial investment on the part of USAID will be negotiated. The following organizations are included in the Stakeholder Group [Institution, USAID staff, SO team leader/Program Officer, HICD Contractor. Technical Assistance Provider, Other Key Donors, Government Agencies/Other Organizations identified by the Institution as key to its success].

6. TERM

From the date of the signing of this MOU through [period. Normally 3 or 4 months], or such later date as the Parties may agree to in writing.

7. AMENDMENT AND MODIFICATION

This MOU may be amended or modified by written agreement by the Authorized Representative of each of the Parties.

8. SUSPENSION AND TERMINATION

Any party may terminate this MOU, in whole or in part, by giving the other party thirty (30) days written notice. In the event of partial termination, such notice shall specify affected activities. Termination of this MOU will terminate any responsibilities of Parties to provide financial or other resources for this activity, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to the termination of this MOU.

9. RESOLUTION OF DISAGREEMENTS

Any disagreement that may occur concerning the terms of this MOU is to be resolved through direct and open communication between USAID and the [institution]. Final resolution regarding funding or project priorities will be resolved by USAID as the donor agency.

10. THIRD PARTY INSTRUMENTS AND OBLIGATION OF FUNDS

This MOU is not intended to effect an obligation of funds by USAID. In order to provide the assistance planned in this MOU, USAID may enter into such contracts and other instruments with public and private parties as USAID may deem appropriate. All undertakings by USAID pursuant to this MOU, including the responsibilities identified above, are subject to the availability of funds. USAID shall obligate, commit, and expend funds and carry out operations pursuant to this MOU in accordance with the applicable laws and regulations of the United States.

11. AUTHORIZED REPRESENTATIVES

The parties shall be represented by those holding or acting in the offices held by the signatories of this MOU. Each party may, by written notice to the others, identify additional representatives authorized to represent that party for all purposes other than executing formal amendments to this MOU. Each party shall notify the other, in writing, of changes in its authorized representatives.

12. LANGUAGE

This MOU is prepared in both English and [language]. In the event of ambiguity or conflict between the two versions, the English language version will prevail.

ACCEPTANCE

The undersigned parties hereby agree with the contents of this Memorandum of Understanding, and agree to comply with its contents in good faith.

Concluded in [place], on the _____ day of the month of _____ of the year _____, in six (6) copies, of which three (3) are in the [language] language and three (3) are in English language, all equally authentic.

For the [PARTNER]:

By: _____

Name: [name]

Title: [title]

Date: _____

For the United States Agency for International Development:

By: _____

Name: [name]

Title: [title]

Date: _____

For [the implementing contractor]:

By: _____

Name: [name]

Title: [title]

Date: _____



Appendix 1.5 HICD Tool: Stakeholder Group Formation

I. Purpose

The purpose of this document is to outline the purpose, roles and responsibilities of the [institution] Stakeholder Group.

II. Intervention Background

Give the history of the institution, its status and purpose, and state whether it has received support from other donors.

The [institution's] mission includes:

-
-
-
-

[State the primary intended role of the institution.]

III. Goal

[State the purpose of this HICD intervention]

IV. Role, Conduct and Meetings of the Stakeholder Group

In order to achieve the above stated goal, a Stakeholder Group is hereby established to provide input and advice at the major stages in HICD development, implementation and evaluation. The Stakeholder Group will play an advisory role and is not a decision-making body.

Advice and input from the Stakeholder Group will be solicited by members of the Performance Assessment Team on an as-needed basis and may be solicited in either one-on-one meetings or in a more structured setting, as circumstances require. However, at a minimum, Stakeholder Group input will be solicited by members of the Performance Assessment Team at the HICD milestones listed below.

HICD Milestones for Stakeholder Group Input:

- Identification of Performance Issues (meetings initiated and conducted by members of the Performance Assessment team)
- Identification and prioritization of measures to close Performance Gaps discussed with Stakeholder Group members
- Selection of Performance Measures for monitoring performance.
- Review results of against Performance Measures (evaluation).

In addition to informal meetings, the Performance Assessment Team will convene and chair structured meetings for all members of the Stakeholder Group on a [annual/bi-annual] basis. The primary function of these meetings will be for the Performance Assessment Team to update Stakeholder Group members on the status and progress of implementation activities. Additionally at these meetings the Performance Assessment Team may present findings, recommended a course of action, discuss next steps and solicit Stakeholder Group input and advice. The Performance Assessment Team members shall prepare and distribute minutes from the bi-annual meetings to all members of the Group

V. Members of the Stakeholder Group

The Stakeholder Group has been developed to provide input from interested parties on the HICD development, implementation and monitoring processes. It consists of one representative from the following:

- Institution executive board
- USAID Program Office
- HICD Contractor
- Technical Assistance Providers
- Other key donors
- Government agencies
- Other organizations identified by the Partner Institution as key to its success

Members agree to the roles and responsibilities of the Stakeholder Group as described above in Section IV.

HICD STAKEHOLDER GROUP

Name & title	Institution represented	Date signed	Signature



Roles and Responsibilities of Stakeholder Group – Template Guidance – “Belgravia Association of Architects”

I. Purpose

The purpose of this document is to outline the purpose, roles and responsibilities of the Belgravia Association of Architects (BAA) Stakeholder Group.

II. Intervention Background

The Belgravia Association of Architects was established as a not-for-profit non-governmental organization in 2001 with support from the World Bank. Although it has NGO status, the association has also been designated by the government of Belgravia as the authorized body in Belgravia for certifying and training architects. Its mission/mandate includes the following:

- Test and certify new entrants into the profession
- Monitor and uphold the standards of performance of practitioners
- Gain acceptance to international professional associations
- Assure adherence to international technical and ethical standards through a Quality Assurance Program
- Provide technical assistance and advice to members on the application of new standards and regulations
- Provide programs of continuing professional development (CPD) to members
- Educate Belgravia society on the public benefit of an association of architects
- Advocate for laws and regulations that increase the public benefit and improve the professional conditions of a well-trained and supported professional cadre of architects.

Central to the future development of the association is full membership in the International Federation of Architects of which it is currently an associate member. Circumstances have forced the association to play a broader role than is appropriate for a professional association. A major aspect of assistance to the association will be to realign its activities, procedures, and staffing responsibilities to support the goal of its financial sustainability.

III. Goal

The goal of this intervention is to assist the Society of Architects in Belgravia to apply HICD methodology to (i) achieve the goal of financial sustainability, specifically generating sufficient revenues to continue to meet the needs of its constituency and (ii) to continue to advance the architecture profession in Belgravia.

IV. Role, Conduct and Meetings of the Stakeholder Group

In order to achieve the above stated goal, a BAA Stakeholder Group is hereby established to provide input and advice at the major stages in HICD development, implementation and evaluation. The BAA Stakeholder Group will play an advisory role and is not a decision-making body.

Advice and input from the BAA Stakeholder Group will be solicited by members of the Performance Assessment Team on an as-needed basis and may be solicited in either one-on-one

meetings or in a more structured setting, as circumstances require. However, at a minimum, Stakeholder Group input will be solicited by members of the Performance Assessment Team at the HICD milestones listed below.

HICD Milestones for Stakeholder Group Input:

- Identification of Performance Gaps (meetings initiated and conducted by members of the Performance Assessment team)
- Identification and prioritization of measures to close Performance Gaps discussed with the Stakeholder Group members
- Selection of Performance Measures for monitoring performance.
- Review results of against Performance Measures (evaluation).

In addition to informal meetings, the Performance Assessment Team will convene and chair structured meetings for all members of the BAA Stakeholder Group on a bi-annual basis. The primary function of these meetings will be for the Performance Assessment Team to update Stakeholder Group members on the status and progress of implementation activities. Additionally at these meetings the Performance Assessment Team may present findings, recommended a course of action, discuss next steps and solicit Stakeholder Group input and advice. The Performance Assessment Team members shall prepare and distribute minutes from the bi-annual meetings to all members of the Group.

V. Members of the Stakeholder Group

The Stakeholder Group has been developed to provide input from interested parties on the HICD development, implementation and monitoring processes. It consists of one representative from the following:

- BAA executive board chair
- USAID Program Officer
- FORECAST II Program Manager
- BAA member architect
- Government Ministry of Urban Planning Official
- USAID Technical Assistance Contractor

Members agree to the roles and responsibilities of the Stakeholder Group as described above in Section IV.

Name & title	Institution represented	Date signed	Signature
Hector Burnette, Chair, Executive Board	Belgravia Association of Architects		
Julia Raby Program Officer	USAID		

Program Manager	Central Contractor		
Giles Sanderson Senior Partner	Sanderson and Ogilvy, Architects		
Boris Kaminiski Under Secretary	Ministry of Urban Planning		
James van Eaton	Chief of Mission Homes for the People		



Appendix 1.6 USAID Request for Performance Assessment

From: [USAID Official and Title]

To: [Implementing Contractor, and title]

Date: [Date]

Subject: Performance Assessment of [Organization]

A. Background Information Concerning the Targeted Institution

[Describe here in 2 to 3 paragraphs the organization. How is it structured, how large is it, how is it managed. What is its function. Why was it initially identified. - is it part of a larger activity]

B. Objectives of the Performance Assessment

The objective of the Performance Assessment is to define measurable performance gaps and other challenges at [organization] and the root causes of these gaps. Its purpose is to establish what should be [desired or optimal performance], to identify what is [actual performance], and to identify the gap between the two. The assessment should result in a package of recommended interventions to address these gaps.

This Performance Assessment is the first step in the HICD process, and is the linchpin for the whole performance improvement system. It is a systematic and thorough workplace diagnosis and documentation that provides the basis for improving performance at the organizational, process, and worker levels. Recommendations from this assessment will be included in the Intervention Package, in the form of various requests for approval.

C. Components of the Performance Assessment

A Performance Assessment is a thorough research and consulting process that includes an assessment of the organization (mission, structure), work place (systems and processes), and workers (skills, knowledge, attitudes, job descriptions). Data will be gathered from a data review (annual reports, production reports, quality reports), interviews (workers, supervisors, management, customers/clients, other stakeholders), and observation (workers, workplace, tools and equipment, processes, procedures).

The assessment will be conducted by a Performance Assessment Team comprising a Performance Consultant and a Technical Expert, and [a Central contractor Program Manager].

The outcome of the assessment will be:

- Determination of Performance Gaps
- Identification of root causes of Performance Gaps
- Design of an Implementation Package, to address root causes and close Performance Gaps
- Development of a measurement system, based upon relevant performance indicators, to assess effects of the Intervention Package in closing the Performance Gaps

D. Time Frame

[Insert dates. Normally 3 - 4 months]

E. Estimated Budget

Performance Assessment Consultant:

- Fee
- International Travel
- Domestic Travel
- Meals and Incidentals
- Lodging
- Miscellaneous: Visa, Insurance, Other

Subtotal:

Technical Expert:

- Fee
- International Travel
- Domestic Travel
- Meals and Incidentals
- Lodging
- Miscellaneous: Visa, Insurance, Other

Subtotal:

Total:

Name of Responsible USAID Official _____

Signature _____ Date _____

Name of Responsible USAID Official _____

Signature _____ Date _____



Appendix 1.7 HICD Implementation Worksheet - Template

Recommended Interventions, Indicators and Results

[Institution]:

Form Completed by: [Name]

Date: [MM/DD/YYYY]

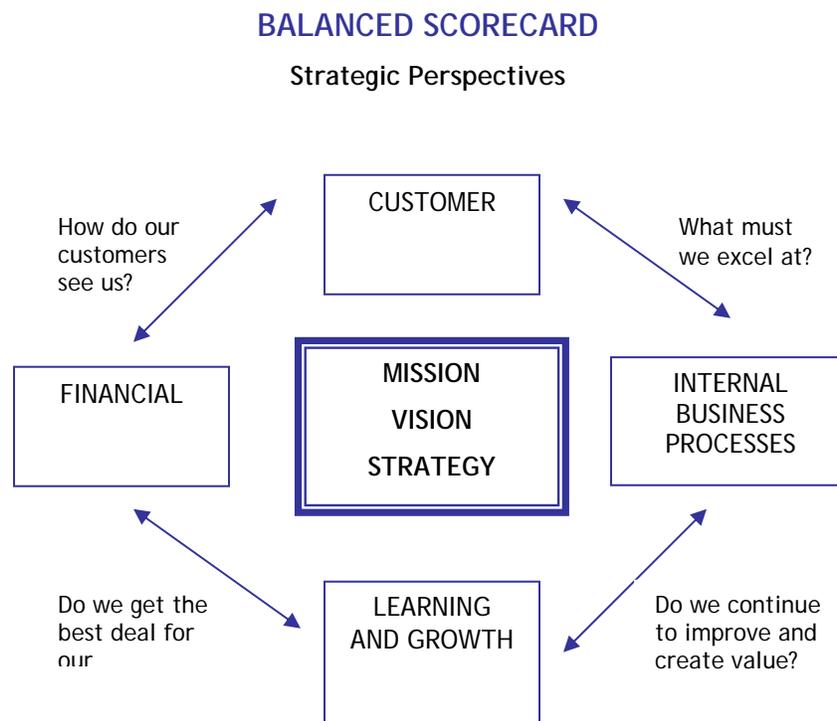
Performance Areas/Issues	Recommended Interventions	Priority (H,M,L)	Timing (Qtr.)	Responsible Party(ies)	Budget	USAID Approval and Date	Performance Indicators	Actual Progress against Indicators (Results)

Appendix 1.8 Measuring Results

A hallmark of HICD is its results-oriented nature. In order to gauge the success of an HICD project, it is important to establish measurable performance goals for each area of performance targeted through the HICD initiative. If a baseline of performance data does not already exist, the HICD contractor should work with the partner organization, as part of the HICD initiative, to establish some form of performance scorecard.

Institutionalizing a performance scorecard enables an organization to regularly monitor performance in critical areas that are leading indicators of the organization's overall performance success. A comprehensive scorecard will establish performance measures at every level of performance: individual worker level, process level, and organizational level with indicators at each level rolling up to the next highest level and ultimately providing a consolidated performance report card for senior managers to use in planning strategies and allocating the organization's resources to meet needs with the highest priority.

The Balanced Scorecard (BSC), as developed by Robert S. Kaplan and David P. Norton and described in their book, *The Balanced Scorecard: Translating Strategy Into Action*³, measures performance of the organization from four perspectives:



1. The Learning and Growth Perspective
An organization's ability to innovate, improve, and learn ties directly to its value as an organization. Managers must answer the question, "Can we continue to improve and create value for our services?"
2. The Business Process Perspective

³ Robert S. Kaplan and David P. Norton, *The Balanced Scorecard: Translating Strategy Into Action* (Boston: Harvard Business School Press, 1996): 24.

Managers need to focus on those critical internal operations that enable them to satisfy customer needs. They must answer the question, "What must we excel at?"

3. The Customer Perspective

Managers must know if their organization is satisfying customer needs. They must determine the answer to the question, "How do customers see us?"

4. The Financial Perspective

In the private sector, these measures have typically focused on profit and market share. For the public sector managers must answer the question, "How do we look to our constituents, our Government, and other stakeholders?"

Metrics are developed from each perspective based on the priorities of the strategic plan, and provide the critical information from which management can analyze the performance of the organization. The attached scorecard illustrates sample metrics from each BSC perspective.

While using a performance scorecard does not obviate the need for external assessments, it provides a tool for the Partner's managers to make course corrections related to strategy, or to routinely identify potential performance problems before they adversely impact the organization's constituents. External stakeholders may use the scorecard as an indicator of the need for a targeted assessment in performance areas indicated by low or unacceptable scores.

A performance scorecard may be a valuable tool for USAID as it provides results-based information on USAID's partners and their performance improvement initiatives that may be used to inform the annual reporting process. The scorecard will, of course, be of greatest value to USAID when the partner's performance goals are clearly and directly aligned with USAID's results framework.

Illustrative Balanced Scorecard - Department of Energy, Federal Procurement System

FINANCIAL		
Objective	Measure	Target
Optimum Cost efficiency of purchasing operations	Cost to spend ratio	.012
INTERNAL BUSINESS PROCESSES		
Objective	Measure	Target
1. Acquisition Excellence	Extent to which internal quality control systems are effective.	85% and no sustained protests.
2. Reduction in overage instruments	% Reduction in overage acquisition and financial assistance instruments.	10% of each year's beginning total
3. On-time delivery	% Contracts where contractual delivery date meets actual delivery/acceptance date.	96%
CUSTOMERS		
Objective	Measure	Target
1. Customer satisfaction	Extent of satisfaction with timeliness, planning, and ongoing communications	85% for FY 2002
2. Effective service/partnership	Extent of satisfaction with responsiveness, cooperation and level of communication	88% for FY 2002
LEARNING & GROWTH		
Objective	Measure	Target
1. Employee Satisfaction	Superior Executive Leadership: Employee's perception of the organization's professionalism, culture, values, and empowerment.	84%
	Quality Work Environment: Employee's degree of satisfaction with tools, communications, current benefits, and job security.	85%
2. Organization structured for continuous improvement	Assessment of level of continuous improvement including effective quality culture, benchmarking and other improvement initiatives, and strategic planning actions.	81%

<http://www.balancedscorecard.org/examples/index.html>

Information relevant to these metrics is collected for analysis. Decision makers examine the outcomes of various measured processes and strategies and track the results to guide the organization and provide feedback.



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Component

1

HICD & Crosscutting Activity Plan

***EXECUTIVE
Summary***

Appendix 1.9 HICD and Crosscutting Activity Plan

1.9.1 HICD Plan Component 1: Executive Summary

I. Mission Context for HICD and Other Crosscutting Activities

In not more than three paragraphs:

- Describe how HICD fits into the USAID country strategy
- Outline the key elements of the country strategy for this period
- Explain that the plan includes three categories of HICD activities: a. those institutions that have already been identified and assessed, and for which interventions have been recommended; b. those that have had a preliminary assessment, and have been recommended for a full HICD assessment and recommended interventions; c. those sectors or institutions that have been identified for potential HICD assessment
- Explain that the plan is a work-in-progress, and liable to change over the period
- Explain that the plan includes training activities not tied to HICD

II. HICD Process and Partner Institutions

a. Selected and assessed institutions. Describe the process through which Partners Institutions were identified. Which SOs and IRs were focused on as critical to the Mission's strategy? Which institutions were identified as key to the achievement of these SOs/IRs?

Who was responsible for identifying and selecting these institutions? On what basis were they selected? Who conducted the Performance Assessment? What were the primary findings and recommendations, and which interventions are being implemented?

Assessed Institution 1:

- Background: History. Staffing structure. Current level of USAID and other donor support.
- Overview of Institution's Greatest Challenges:
- Findings of Performance Assessment:
- Recommended Interventions:
- Implementer(s):
- [HICD Contractor] Role:
- Links to S.O./IR: [State how improved performance in the targeted area will support specific selected Mission SO/IRs]

Assessed Institution 2:

- Background: History. Staffing structure. Current level of USAID and other donor support.
- Overview of Institution's Greatest Challenges:
- Findings of Performance Assessment:
- Recommended Interventions:
- Implementer(s):
- [HICD Contractor] Role:

Links to S.O./IR: [State how improved performance in the targeted area will support specific selected Mission SO/Irs

b. Selected institutions, with a preliminary assessment and now recommended for a full performance assessment. Describe the process through which Partners Institutions were identified. Which SOs and IRs were focused on as critical to the Mission's strategy? Which institutions were identified as key to the achievement of these SOs/IRs?

Who was responsible for identifying and selecting these institutions? On what basis were they selected?

Selected Institution 1:

- Background: History. Staffing structure. Current level of USAID and other donor support.
 - Overview of Institution's Greatest Challenges:
 - Preliminary Findings and Observations:
 - Recommended Intervention: A full Performance Assessment
 - Implementer:
 - [HICD Contractor] Role:
- Links to S.O./IR: [State how improved performance in the targeted area will support specific selected Mission SO/IRs

Selected Institution 2:

- Background: History. Staffing structure. Current level of USAID and other donor support.
 - Overview of Institution's Greatest Challenges:
 - Preliminary Findings and Observations:
 - Recommended Interventions: A full performance assessment
 - Implementer:
 - [HICD Contractor] Role:
- Links to S.O./IR: [State how improved performance in the targeted area will support specific selected Mission SO/IRs

For the coming year, which sectors have been identified as including institutions that could be nominated for the HICD process? Have any institutions already been identified?

III. Non-HICD Activities: Training, Small Grants, Technical Assistance

Overview:

In no more than two paragraphs, describe:

- Reasons for stand-alone training activities
- Number of proposed programs
- How the programs will be managed
- Explain that programs will be added, or dropped, depending on funding available

Summary of Programs by Sector:

By sector, describe the number, purpose, and venue of training programs

Small Grants:

Describe the purpose of Small Grants, and the amount of funding available

Technical Assistance:

Explain how these activities fall under the Mission's strategy. Describe activities briefly and state estimated cost.



Template Guidance: HICD and Training Plan Executive Summary
(A sample based on the fictitious country of Ablovia)

USAID Ablovia HICD Plan 2006-2008

I. Purpose

The document presents the USAID Ablovia Mission's Human and Institutional Capacity Development (HICD) activities for the period 2006-2008. Human and institutional capacity development (HICD) is viewed as a key element of the USAID/Ablovia strategy, as without major improvements in individual and institutional performance, there is little likelihood of successful reform implementation. HICD focuses on addressing organizational weaknesses by using Performance Improvement (PI) methodology.

During the process of preparing the 2006-2008 Strategic Plan, USAID/Ablovia determined that the "emergency assistance" phase of providing basic goods and services has come to a close and that the Mission's focus for 2006-2008 will be on rebuilding institutions to facilitate a stable society, an effective government and a sound economy. This document links the achievement of key Mission Strategic Objectives to a series of targeted, HICD interventions supporting improved institutional performance.

While this 2006-2008 HICD Plan envisions focusing on designing, implementing and measuring the results of HICD activities in three key Partner Organizations, the Plan is intended to be a living document, and activities may be added or removed as circumstances require.

II. The HICD Process and Partner Institutions

Selected and Assessed Institutions. In 2005 the Mission, through the Program Office and FORECAST II contract with [HICD implementing contractor], conducted a preliminary assessment in order to identify key potential HICD Partner Organizations and further to develop an HICD Plan for the period 2006-2008.

As a first stage in this process, target SOs and IRs were identified. During May and June 2005, Central contractor and the USAID-Ablovia Mission Program Office reviewed the Mission SOs and IRs with COTRs and TA providers, the 2006-2008 Mission-wide Strategic Plan and current and planned USAID-funded programming in Ablovia. From this review, the following SOs and IRs were deemed as critical to the successful implementation of the Mission's Strategic Plan:

S.O. 1.3 Accelerated Private Sector Growth

IR 1.3.1 Improved Business Operating Environment

S.O. 2.2 More Open and Responsive Government Acting According to the Rule of Law

IR 2.2.1 More representative and responsive elected bodies

IR 2.2.1.2 Strengthened Credibility of the Electoral System

IR 2.3.1 Strengthened Professional Associations responsive to members' needs

S.O. 2.3 More Professional and Citizen Associations Representing Members' Interests

Next, USAID Ablovia and Central contractor worked with COTRs and TA providers to determine which Partner Organizations are key partners in contributing to the achievement of the targeted SOs and IRs. The performance of the following six organizations were identified as key to achievement of Mission S.O. 1.3 and 2.2:

The Northeast Regional Investment Council;

The Association of Small Businesses;

The Election Monitoring Authority

The Association of Local Government Treasurers

The Architects Association;

The Civil Court Judges Alliance;

A questionnaire for each of the six targeted Partner Organizations was sent to the relevant TA provider. The questionnaire asked for background information on the organization, identification of the organization's mandate, and the major challenges the organization faces. Of the six organizations considered, the Association of Small Businesses and the Election Monitoring Authority showed the greatest promise of demonstrating the value of HICD in terms of specific, measurable performance improvement.

a. Selected and Assessed Institutions*Association of Small Businesses*

A Performance Assessment has been conducted for this institution, and a package of interventions has been recommended.

Background: The Association of Small Businesses (ASB) was established in October 2003. According to its Mission Statement, it was created to advance the interests of local businesses and represent the concerns and interests of the Ablovia business communities. Staffing currently consists of one (1) full-time Director and one (1) part-time administrative support position. Prior to the HICD assessment, USAID had provided support primarily through its Small Business Support Project by providing a volunteer retired American businessman, resident in Ablovia, to serve on its Board of Directors. In addition, Helping Hands, a USAID-funded project, provided financial support for one Board Member to attend a regional small business conference in Prague in April 2004.

Preliminary Observations: A review of the questionnaires completed by its members, and a series of meetings with its staff and members, both conducted by the [HICD Implementing Contractor] showed the greatest challenge faced by ASB to be the organization's lack of focus. This seemed to result primarily from the fact that the Board of Directors comprises young self-starters who are unable to reach consensus on a direction for the organization and are not assuming responsibility for setting a constructive agenda for the organization. This problem seemed to be exacerbated by an Executive Director with little experience in NGO management who was struggling to direct and coordinate the organization's activities with support from only one additional staff member.

ASB was nominated for a Performance Assessment by the USAID Program Officer for Developing Market Economies. This was approved by the Selection Committee in June, and an MOU was signed by ASB, USAID and the [HICD Implementing Contractor]. The [HICD Implementing Contractor] contracted with a Performance Assessment consultant and a Technical Expert to conduct a full assessment. A Stakeholder Group was formed, that included the USAID Program Officer, the Executive Director of ASB, the Country Director for Helping Hands (USAID's contractor for private sector development), and the USAID HICD Implementing Contractor.

Findings of Performance Assessment: The Performance Assessment consultant and the Technical expert conducted their assessment, and concluded that ASB is indeed facing a number of performance issues: the root of many of these problems is the need to increase its revenue-generating functions in order to fund the activities that are most valued by its membership. Other issues identified are related to improving the decision-making capabilities of the ASB Board of Directors.

Recommended Interventions:

- a. Advisory: The Small Business Support Project has agreed to provide advisory support to ASB at the Executive Board Level
- b. Technical Assistance: An expert with experience in managing business associations will be hired to work with ASB for a three-month period, developing services for its members and advising on the role of the Board of Directors.
- c. Training: The ASB financial officer, its development officer, and the finance and development officers from 3 of its members will attend a US training program in member services and Board management
- d. Commodities Purchase: It is recommended that funding be provided for ASB to purchase the software "Manage Well", that will enable it to maintain up-to-date records on its members and its calendar of services.

The [HICD Implementing Contractor] will be responsible for managing and procuring each of the above interventions, in consultation with the Stakeholders' Group and reporting directly to USAID.

Links to S.O./IR:

A well-managed Association of Small Businesses will provide essential support to the attainment of SO 1.3.1 - the functioning of a thriving small business community

b. Selected Institutions*Election Monitoring Authority*

A preliminary assessment has been made of this institution (based on questionnaires and meetings), and a full Performance Assessment has been recommended.

Background: The Election Monitoring Authority (EMA) is a Government organization established in January 2003 to monitor the electoral process through the adoption of Electoral Rules and to supervise all aspects of the process to ensure that elections meet international standards. The organization is currently comprised of approximately 20 core employees based in Windsor and 30 County Executive Officers based in the counties. The EMA is assisted in the fulfillment of its responsibilities and functions by a Secretariat.

USAID is providing support to EMA via recently awarded Cooperative Agreements to NDI and IRI. These projects are aimed at strengthening the institutional and professional capacity of the EMA Secretariat.

Preliminary Observations: The [HICD Implementing Contractor] has met with representatives of the EMA, and has reviewed the findings of the questionnaires that were completed by its officers, and by representatives of the country's five main political parties. These showed greatest challenge faced by EMA is to monitor the next round of elections and retain credibility with the public in the process. EMA's ability to prepare for the next election cycle is directly impacted by its operating budget, which has been reduced significantly in this non-election year. Because EMA is a governmental organization, it does not have direct control over its operating budget.

Another issue raised indirectly by both the EMA and USAID is the issue of high staff turnover, which is adversely affecting the organization's operations.

Preliminary Assessment: References to high staff turnover indicate an opportunity for a targeted HICD intervention. Although the prevailing opinion seems to be that low government wages are the primary factor affecting employee retention, other, and possibly more significant, factors may also be affecting this problem.

Potential HICD Initiative(s):

An HICD Performance Assessment consultant would be able to provide valuable input into establishing functional units and position descriptions described in terms of measurable outcomes. The value of such an approach is to establish performance measures for an organizational performance measurement tool or performance scorecard for future monitoring of the organization's performance.

Implementation:

If EMA is approved by the Selection Committee for HICD, the [HICD Implementing contractor] will:

- (i) proceed with development of MoU for EMA HICD activities
- (ii) form an EMA stakeholder group, to include the USAID Program Officer for Democratic Strengthening, the Executive Director of EMA, the Country Directors of NDI and IRI, and the [HICD Implementing Contractor Program Officer]
- (iii) contract a Performance Assessment consultant to conduct a performance assessment and to identify interventions.

Links to S.O./IR: A well-managed and respected Election Monitoring Authority is crucial to the attainment of IR 2.2.1.2 Strengthened Credibility of the Electoral System

c. Potential Institutions and Sectors

The Mission has determined the importance of strengthening institutions whose mission falls within S.O. 2.3 More Professional and Citizen Associations Representing Members' Interests and IR 2.3.1 Strengthened Professional Associations responsive to members' needs. Three institutions in this sector - The Association of Local Government Treasurers, The Architects Association, and The Civil Court Judges Alliance underwent a preliminary review and assessment this year but none were considered to possess the potential that would warrant the effort and expense of a full Performance Assessment. However the existence of strong, well-functioning professional associations is obviously critical to the success of IR 2.3.1. and the USAID Program Officer and the [HICD Implementing Contractor] will continue to identify potential member institutions. Currently the Football Club Association and the National Parent-Teacher Association have been identified as warranting further investigation.

III. Non-HICD Activities: Training, Small Grants, Technical Assistance

Although the Mission is committed to the concept of an HICD approach as the most effective way of achieving its legacy of a network of well-managed institutions, it still recognizes the importance of managing a series of stand-alone training activities, alongside the portfolio of HICD-related interventions. The programs that have been identified to date are described below, and each program will be procured competitively through the process of limited competition by the [implementing contractor]. In most cases the venue of the training has already been selected, though it will be possible to change this if a convincing case is made for an alternative, more appropriate venue. It is also understood that the training program must remain flexible, and that provision will be made to fund last minute attendance at conferences, or to arrange programs in an as-yet unidentified field of study. As in previous years, programs will be added or dropped depending on availability of funding.

Training. The following is a summary of non-HICD related interventions planned by technical focus areas:

Support for the Banking Sector and Securities Market

Five interventions are planned to support the Mission's activities in these areas. These include direct training for employees of the Ablovia National Bank, training for staff

from private commercial banks, and training for national-level financial authorities such as the tax authority and the securities regulators. Three of the training programs will take place in the US, at a cost of \$60,000 each, and two will take place in a country in the region, at a cost of \$20,000 each.

Support for Judicial Development and Reform

Six interventions are planned in this area. Four of these target management and support personnel within the court system. The two others constitute a new area of focus for the Mission, which is to address weaknesses in the public procurement procedures and regulations and the national audit office. Training for the court system personnel will take place in both the US and in a western European country - at a cost of \$75,000 per program. The training in procurement will be conducted in-country, at a cost of \$20,000 per program.

b. Small Grants

The Mission is committed to continuing the program of Small Grants of up to \$5,000 each. This year 8 grants were awarded, to individuals and institutions including credit unions, an organic agribusiness association, a regional development department and a school authority. It is proposed that all participants returning from training overseas - in the US or Third Country - be eligible to apply for a grant, and the emphasis will be on workplace (rather than individual) impact. Total cost: \$40,000.

c. Technical Assistance

Several technical assistance interventions are planned, that are not linked to any of the HICD packages of interventions.

Six American university professors will visit Ablovia to co-teach the newly established University of Staines Environmental Management Master program, the first of its kind to be offered in the country

As a follow-up to a US training program, staff from an American state legislature will provide training-related technical assistance of the Ablovian Parliament on the topic of instituting public hearings

Senior bankruptcy judges will be invited to attend a planned seminar of Bankruptcy Management, and will provide an overview of the US experience in case management systems, bankruptcy management, and court technology.



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Component

2

HICD & Crosscutting Activity Plan

Summary

Table

Appendix 1.9.2 HICD Plan Component 2: Summary Table

PART 1. HICD Initiatives									
Name of Organization	Performance Goal Targeted	Current Level of Performance	Targeted Level of Performance	Recommended Performance Solution(s)	Type of Requested Intervention	Number of Participants (if applicable)	Estimated Length of Intervention	Intervention Date	Estimated Cost
PART 2. Other Interventions Identified Not Using the HICD Methodology									
Strategic Objective	Proposed Activity	Type of Requested Intervention/Venue	Length	Dates	Number of Participants	Participant Profile	Program Description	Allocation	Notes/Comments
PART 3. Community Connections									
Strategic Objective	Title	Venue	Length	Dates	Number of Exchange Visitors	Participant Profile	Program Description	Allocation	Notes/Comments



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Component

3

HICD & Crosscutting Activity Plan

Activity

Implementation

Forms



Appendix 1.9.3 HICD Plan Component 3: Activity Implementation Forms

Component 3 is a compilation of all activity implementation forms. It is organized into three Parts that correspond to HICD Plan Component 2 as follows:

Part 1 - HICD Initiatives

Part 1 is broken down by organization and contains, at a minimum, the following information related to each:

- General Information including:
 - Partner name
 - Partner contact information
 - Estimated cost of HICD initiative
 - Targeted Performance areas
 - Primary HICD implementer (HICD contractor or TA Implementer); and
- All applicable HICD implementation forms including:
 - [HICD Initiative Planning Tool](#)
 - [HICD Information Collection Tool](#)
 - [HICD Tool for Evaluating Multiple Partners](#)
 - [Memorandum of Understanding](#)
 - [Stakeholder Group Formation tool](#)
 - [Performance Assessment Request](#)
 - Performance Assessment Report
 - [HICD Implementation Worksheet](#)
 - All Performance Solution Request Forms (see Part 2 below for links to these forms.)

Part 2 - Other Interventions

Part II is a compilation of all implementation forms related to activities identified not using the HICD methodology. These forms may include:

- Performance Solution Request - Academic Education Opportunity ([Appendix 1.10 PSR-A](#))
- Performance Solution Request - Commodity Purchase ([Appendix 1.11 PSR-C](#))
- Performance Solution Request - Entrepreneurial Management Training ([Appendix 1.12 PSR-E](#))
- Performance Solution Request - Small Grant ([Appendix 1.13 PSR-G](#))
- Performance Solution Request - Training ([Appendix 1.14 PSR-T](#))
- Performance Solution Request - Technical Assistance ([Appendix 1.15 PSR-TA](#))

These forms may be organized by Strategic Objective, Sector or other logical grouping of relevance to the Mission.

Part 3 - Community Connections

Part 3 is a compilation of all Volunteer Exchange Request Forms (VERFs) ([Appendix 1.16-VERF](#)) related to the Mission's Community Connections program. These forms may be organized by Strategic Objective, Sector or other logical grouping of relevance to the Mission.



Appendix 1.10 Performance Solution Request Form: Academic Education

From: [Name, Title, USAID/Country]
 [Name, Program Officer, USAID/Country]
 To: [Name, Project Director, FORECAST/Country]
 Date:
 Subject: Intervention Request: [Title of Program]

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective #

Intermediate Result #

Intervention Plan: This event was/was not foreseen in the Mission’s FY 20xx HICD/Training plan.

Performance Assessment: Which Performance Assessment does this training follow from?

[Describe details of Performance Assessment]

Intended Results:

Performance Results:

What organizations and work units does the training event support?

What performance problems will the training event address? In the work unit, what are the indicators of performance?

What is the history of assistance to the organization and to the work unit?

What other support activities are required to achieve the desired result?

Application of Knowledge, Skills and Attitude (KSA) by Trainees:

How will the trainees apply the knowledge, skills and attitude?

What will the trainees be responsible for?

What is necessary for the trainees to apply KSA learned?

Objectives of Training Event

Training Event Components and Follow-On:

Training event component(s)

Projected Follow-on Activities
Funding Priority of Training Event:

TRAINING EVENT

Training Management

Training Venue

Type of Course

Projected Start Date Quarter of FY

Training Duration in weeks:

PART OF HICD/TRAINING PLAN FOR

Number of Trainees to Attend Event (USAID goal is 50% female participation):

Males:

Females:

Total:

Suggested Training Provider to Receive RFPs, if any: (Please provide contact information)

Background/Supporting Information:

Trainee Profile

Criteria for Candidate Recruitment and Selection:

Candidates will be identified:

Explanation:

Summary of Desired Candidate Qualifications:

ENGLISH LANGUAGE TESTING

Interpreter Requested:

Language(s) required:

COST ESTIMATES

ESTIMATED COST: \$ X,000 PER TRAINEE

Cost sharing:

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Funding source:

Approval:	
For the USAID/Country S.O. Team:	
<hr/>	
Name, Title	Date
For the USAID/Country Program Office:	
<hr/>	
Name, Title	Date



Appendix 1.11 Performance Solution Request Form – Commodities Purchase

From: [Name, Title, USAID/Country]
[Name, Program Officer, USAID/Country]
To: [Name, Project Director, FORECAST/Country]
Date:
Subject: Intervention Request: [Insert Name]: Technical Assistance - Commodities Purchase

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective #

Intervention Plan:

Situation/problem:

Commodities needs request:

Commodities Requirements:

Intervention Outcome:

Performance indicators:

Profile of those responsible for commodities:

Action Plans of commodity users:

Intervention period:

Location of commodities:

Procurement:

Estimated Cost to [name of HICD project]:

Contribution of commodity receivers:

Approval:	
For the USAID/Country S.O. Team:	

Name, Title	Date
For the USAID/Country Program Office:	

Name, Title	Date

**Performance Solution Request Form - Commodities Purchase****Template Guidance - Belgravia Example**

From: Program Officer, USAID/Belgravia
Senior Agricultural Development Advisor, USAID/Belgravia

To: Implementing Contractor Country Director
Christopher Hamdi, Belgravia Center for International Trade

Date: April 29, 2009

Subject: Free Trade Agreements - Global Trade Analyses Project (GTAP) Commodities

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective # 1.3 Growth of Self-Sustaining Private Enterprises in Target Sectors

Intervention Plan: This event was foreseen in the Mission's FY 2006 HICD/Training Plan.

Situation/problem: Belgravia has signed Free Trade Agreements with eight countries in the region. The first was with Macedonia in 2002 followed by Croatia, Bosnia & Herzegovina, Serbia & Montenegro, Kosovo, Bulgaria, Romania and Moldova. These Free Trade Agreements can be renegotiated annually and considerable pressure exists to protect especially sectors of Belgravian agriculture.

The Global Trade Analyses Project (GTAP) has assumed prominence in economic quantitative analyses through a Computable General Equilibrium (CGE) approach. This software has proven fairly effective in predicting the effect of NAFTA and would be useful to Belgravian specialists to predict the impact of changes in tariffs on a possible 57 sectors disaggregated in the database. In 2004, a staff member of the Belgravia Center for International Trade (ACIT), with the support of USAID/Belgravia's Participant Training Program, received training on line and in the US in the use of GTAP using 1997 global trade data. Recently the Belgravia Center for International Trade received the updated database with trade data from the year 2000. Of particular interest are several of the 27 agricultural sectors and the textile and footwear manufacturing sector. In order to better inform decision makers from various points on the political spectrum, it is important that a broader group of Belgravian specialists understand the use of this GTAP software tool to predict impact of changes in Free Trade Agreements. In addition to free trade agreements, GTAP can be used to predict the impacts of any trade policy change the government of Belgravia may consider in the course of policy reforms. The Belgravia Center for International Trade is willing to offer training to various institutions but they will need computers, software and manuals in order to put the training to use.

Commodities needs Request: It is proposed that six computers, six GTAP software packages and 18 manuals be purchased to assist specialists from the Ministry of Agriculture, the Ministry of Economy, the Foreign Investment Promotion Agency, the Export Promotion Agency as well as Faculty of Economics in Windsor and Manchester to adapt and use GTAP software to inform decisions regarding Free Trade Agreements.

Commodities Requirements related to use of GTAP software to predict the outcome of various changes to current Free Trade Agreements and other trade policy changes:

1. Six computers with the following minimum configuration: Pentium 4, 15-17 inch monitor, 3 Ghz, 2048 Cache 800 MHz, HDD 200 GB, Memory 1024MB 533MHz, DVD-ROM, 4 USB 2.0.
2. Six GTAP software packages with year 2000 trade data.
3. Eighteen GTAP user manuals

Intervention Outcome: As a result of the commodities and training course, it is expected that participants will use quantitative analysis and econometric tools to inform decision making regarding FTA renegotiations and other trade policy changes.

Performance indicators: FTA negotiators will be provided with research analysis predicting the results of changes in FTAs.

Profile of those responsible for commodities: Head of the department responsible for Free Trade Agreement analysis in the Ministry of Agriculture, the Ministry of Economy, the Foreign Investment Promotion Agency, the Export Promotion Agency as well as Faculty of Economics in Windsor and Manchester.

Action Plans: Before receiving computers, responsible receiving parties will develop action plans towards the following goals.

1. Using GTAP software, research and analyze the impact of changes in Free Trade Agreements on 4-5 agricultural sectors and recommend policy changes.
2. Using GTAP software, research and analyze the impact of changes in Free Trade Agreements on the textile and footwear sector and recommend policy changes.
3. Using GTAP software, research and analyze the impact of changes in Free Trade Agreements on the mining sector and recommend policy changes.

Intervention period: Preferably October 2006

Location of commodities: The commodities will be located in the Free Trade Dept of the Ministry of Agriculture, the Ministry of Economy, the Foreign Investment Promotion Agency, the Export Promotion Agency as well as Faculty of Economics in Windsor and Sunningdale.

Procurement: These commodities will be procured by obtaining three offers in Belgravia.

Estimated Cost to [HICD Project]: \$10,700

Contribution of commodity receivers: ACIT will provide the training in GTAP software. Institutions will pick up the computers after successful completion of the training by their specialists.

Approval:	
For the USAID/Belgravia S.O. Team:	
Peter Brown, Senior Agricultural Development Advisor	Date
For the USAID/Belgravia Program Office:	
Glen Honeycutt, Program Officer	Date



Appendix 1.12 Performance Solution Request Form: Entrepreneurial Management Training

From: [Name, Title, USAID/Country]
[Name, Program Officer, USAID/Country]
To: [Name, Project Director, FORECAST/Country]
Date:
Subject: Intervention Request: [Title of Program]

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective #

Intermediate Result #

Intervention Plan: This event was/was not foreseen in the Mission's FY 20xx HICD/Training plan.

Performance Assessment: Which Performance Assessment does this training follow from?
[Describe details of Performance Assessment]

Intended Results:

Performance Results:

What organizations and work units does the training event support?

What performance problems will the training event address? In the work unit, what are the indicators of performance?

What is the history of assistance to the organization and to the work unit?

What other support activities are required to achieve the desired result?

Application of Knowledge, Skills and Attitude (KSA) by Trainees:

How will the trainees apply the knowledge, skills and attitude?

What will the trainees be responsible for?

What is necessary for the trainees to apply KSA learned?

Objectives of Training Event

Training Event Components and Follow-On:

Training event component(s)

Projected Follow-on Activities

Funding Priority of Training Event:

TRAINING EVENT

Training Management

Training Venue

Type of Course

Projected Start Date Quarter of FY

Training Duration in weeks:

PART OF HICD/TRAINING PLAN FOR

Number of Trainees to Attend Event:

Males:

Females:
(USAID goal is 50% female participation)

Total:

Suggested Training Provider to Receive RFPs, if any: (Please provide contact information)

Background/Supporting Information:

Trainee Profile

Criteria for Candidate Recruitment and Selection:

Candidates will be identified:

Explanation:

Summary of Desired Candidate Qualifications:

ENGLISH LANGUAGE TESTING

Interpreter Requested:

Language(s) required:

COST ESTIMATES

ESTIMATED COST: \$ X,000 PER TRAINEE

Cost sharing:

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Funding source:

	Approval:
For the USAID/Country S.O. Team:	
Name, Title	Date
For the USAID/Country Program Office:	
Name, Title	Date



Appendix 1.13 Performance Solution Request Form: Small Grants Application

In your application for a grant please follow the outline provided below. Please address each section individually and make sure to answer all questions fully.

Section 1: Institutional Information

- a. Please summarize your institution's history, size, mandate, and constituents.
- b. Please give the date of the performance assessment.

Section 2: Performance Issues

- a. What are the performance Issue(s) identified by the performance assessment that this grant activity will address?
- b. Who else is working on the issues that this grant will address? Please include activities supported by USAID funding and by other donor funding.

Section 3: Proposed Grant Activity

- a. What type of activity are you proposing to implement (please explain in detail), and who will implement it?
- b. What will be the direct results of this activity?
- c. Explain how this activity will fill the performance gap(s) as identified in the performance assessment

Section 4: Evaluation

- a. How will you determine if your funded activities have been successful?
- b. What measurement will you use?

Section 5: Resources

- a. What resources are necessary for the completion of this activity?
- b. Describe the types of in-kind support your organization will provide.



BUDGET SUMMARY

<i>Source of Funds</i>	<i>Amount</i>	<i>Description</i>
1. Grant funds requested from USAID	0.00	
2. Institution's Contribution:		
a. Cost share	0.00	
b. In-kind	0.00	
3. Funds from other sources	0.00	
<i>Total Program Cost</i>	<u>0.00</u>	

BUDGET (By double-clicking on this document, it will become an Excel spreadsheet)

Cost Categories	Unit of measurement & number of units (A)	Unit price (B)	Total (A*B)
I. PERSONNEL			
1. Fees and honoraria - please list	0.0	0.00	0.00
2. Other (please specify)	0.0	0.00	0.00
Subtotal I	0.0	0.00	0.00
II. DIRECT COSTS			
1. Transportation	0.0	0.00	0.00
2. Equipment rent	0.0	0.00	0.00
3. Supplies	0.0	0.00	0.00
4. Communications (specify)	0.0	0.00	0.00
5. Conference room rent	0.0	0.00	0.00
6. Other (please specify)	0.0	0.00	0.00
Subtotal II	0.0	0.00	0.00
III. CAPITAL EQUIPMENT			
1. Office Equipment (please specify)	0.0	0.00	0.00
2. Other (please specify)	0.0	0.00	0.00
Subtotal III	0.0	0.00	0.00
TOTAL COST (I+II+III)	0.0	0.00	0.00



Appendix 1.14 Performance Solution Request Form: Training

From: [Name, Title, USAID/Country]
[Name, Program Officer, USAID/Country]
To: [Name, Project Director, FORECAST/Country]

Date:

Subject: Intervention Request: [Title of Program]

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective #

Intermediate Result #

Intervention Plan: This event was/was not foreseen in the Mission's FY 20xx HICD/Training plan.

Performance Assessment: Which Performance Assessment does this training follow from?

[Describe details of Performance Assessment]

Intended Results:

Performance Results:

What organizations and work units does the training event support?

What performance problems will the training event address? In the work unit, what are the indicators of performance?

What is the history of assistance to the organization and to the work unit?

What other support activities are required to achieve the desired result?

Application of Knowledge, Skills and Attitude (KSA) by Trainees:

How will the trainees apply the knowledge, skills and attitude?

What will the trainees be responsible for?

What is necessary for the trainees to apply KSA learned?

Objectives of Training Event

Training Event Components and Follow-On:

Training event component(s)

Projected Follow-on Activities

Funding Priority of Training Event:

TRAINING EVENT

Training Management

Training Venue

Type of Course

PROJECTED START DATE QUARTER OF FY

Training Duration in weeks:

Part of HICD/Training Plan for

Number of Trainees to Attend Event:

Males:

Females:

(USAID goal is 50% female participation)

Total:

Suggested Training Provider to Receive RFPs, if any: (Please provide contact information)

Background/Supporting Information:

Trainee Profile

Criteria for Candidate Recruitment and Selection:

Candidates will be identified:

Explanation:

Summary of Desired Candidate Qualifications: English Language Testing

Interpreter Requested:

Language(s) required:

COST ESTIMATES

ESTIMATED COST: \$ X,000 PER TRAINEE

Cost sharing:

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Funding source:

Approval:	
For the USAID/Country S.O. Team:	

Name, Title	Date
For the USAID/Country Program Office:	

Name, Title	Date



Performance Solution Request Form – Training Template Guidance

From: Program Officer, USAID/Belgravia
Rule of Law Advisor, USAID/Country
To: [Implementing Contractor]/Country Director, FORECAST/Belgravia
Date: July 28, 2009
Subject: Intervention Request: National Court Administration

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective # 2.2 An improved judiciary that better supports democratic processes and market reforms

Intermediate Result # 2.2.3

Intervention Plan: This event was foreseen in the Mission’s FY 2005 HICD/Training plan.

Performance Assessment: Which Performance Assessment does this training follow from?

The assessment of the Supreme Judicial Council that was carried out in December 2005

Intended Results:

Performance Results

- What organizations and work units does the training event support?

The Supreme Judicial Council (SJC)

- What performance problems will the training event address? In the work unit, what are the indicators of performance?

Issues of ambiguity and inefficiency in the way the SJC handles national administration.

- What is the history of assistance to the organization and to the work unit?

The EU and USAID have both given support to the SJC.

- What other support activities are required to achieve the desired result? It is important that there be adequate numbers of qualified staff to support the SJC and to provide administrative support to the courts of Bulgaria. Oversight and interaction between the SJC, the Secretary General and the Council’s departments should be clearly defined. USAID is a strong advocate for development of a well-defined national courts administration structure with the SJC that would relieve the body of much of its administrative function and allow it to focus more on matters of policy.

Application of Knowledge, Skills and Attitude (KSA) by Trainees

- How will the trainees apply the knowledge, skills and attitude?

The expectation is that they will be able to apply some of the principles and practices observed and discussed in their ongoing work with the Judicial Strengthening Initiative (JSI) in Belgravia. The JSI seeks to improve the capacities and functionality of the SJC staff and the Council itself so it can operate as a national office for the administration of courts.

- What will the trainees be responsible for?

Through their training the trainees will be exposed to models, organizational structures and practices of national court administration. Working at the national level with the JSI to develop and implement a National Court Administration Office will ensure sustainability of local court reform efforts and enhance the capacity for budgeting, planning and direction and assistance to courts throughout the country. Overall, the establishment of a National Court Administrative Office, with sufficient staffing, will organize the SJC so that its focus can be more on policy issues and not the day to day operational issues.

- What is necessary for the trainees to apply KSA learned?

The idea of a centralized, national court administration office is relatively new and unfamiliar to the SJC, and such an office will need to be built and implemented from the ground up to support the work of the local court administrators. Much of the administrative responsibilities of the courts is vested in the Ministry of Justice and will require legislative changes to effect change. Among SJC members, there is general consensus among the judges that such a move is necessary. Among the other members (prosecutors and investigators) this consensus does not exist, and there is even resistance. Among those who support the development of a court administration office, few are certain about the details and how such an office can best function in Belgravia. Accordingly, the main focus of this study tour is on introducing the management concepts and on improving the effectiveness of and methods of centralized court administration from a national perspective. Another important aspect is “selling” the idea of an administrative office - helping participants develop a set of arguments to win over the skeptics.

Objectives of Training Event

The basic goal of this study tour is to introduce participants to models, organizational structures and practices of national court administration in a country - preferably Denmark -- that has a Council of the Judiciary following the Northern European Model, with the expectation that they will be able to apply some of the principles and practices observed and discussed in their ongoing work with the JSI in Belgravia.

A. At the end of training, participants will be able to describe the following about national court administration in the host country:

1. The membership of the country's Judicial Council body;

2. The competencies of the country's Judicial Council body, especially in relation to national court administration;
3. The organizational structure of the Judicial Council and any subcommittees/departments of the Council in relation to national court administration;
4. The management organization of the Judicial Council (director, deputy director, secretary general, etc.), especially in relation to national court administration;
5. The manner in which the activities of the subcommittees/departments and the Judicial Council are coordinated;
6. The planning methods used by the Judicial Council and its subcommittees/departments; and
7. The background of reforms that led to the current system and key factors that make those reforms effective.

B. At the end of training, participants should be able to answer the following questions related to the national court administration in the host country:

1. What is the form and substance of the by-laws and other internal procedure documents for the country's Judicial Council?
2. What are the competencies of directors and other executive officers of the Judicial Council?
3. What are the reporting requirements of directors and other executive officers of the Judicial Council?
4. What are the procedures followed by the Judicial Council?
5. What are the meeting schedules for the Judicial Council (frequency, different types of meetings where committee heads are present, intervals, etc.)?
6. What are the competencies of the subcommittees/departments of the Judicial Council?
7. What are the staff numbers of the subcommittees/departments of the Judicial Council?
8. What are the reporting procedures and duties of the subcommittees/departments of the Judicial Council?
9. What is the relationship between the council and directors and the subcommittees/departments of the Judicial Council?
10. What is the nature of policy direction from the council to subcommittees/departments and the implementation of such policy direction?
11. How detailed is control and direction from council to subcommittees/departments?
12. How much time does the council spend on monitoring and directing each subcommittee/department?
13. How detailed are the status reports from the subcommittees/departments to the council?
14. Is a report made by subcommittees/departments only annually or when a major item needs council approval?
15. What are the reporting requirements from the Judicial Council to the government/legislature and how are such reports prepared?
16. What are the strategic planning obligations of the Judicial Council and how are strategy plans prepared?
17. Develop policies for implementing, monitoring and assessing policy decisions from the national level (SJC) to the local courts.
18. What role does the Court Administration play in gathering court-related statistics?
19. What is the relationship between the Court Administration and the Danish judicial training entity?

Training Event Components and Follow-On

Training event component(s)

- A. Meetings with officials at the national court administration offices, such as:
- Judicial Council members (delegation of responsibility to council staff; policy development versus direct management of the courts)
 - Judicial Council directors, secretary general, other officers
 - Judicial Council subcommittee/department heads
 - Judicial Council administrative support staff, in particular staff responsibilities for national court administration
- B. Discussion of progression of changes over time to the Judicial Council's organizational structure and practices and the responsibility for policy development versus implementation by council staff.
- C. Discussion of any planned future reforms to the Judicial Council's organizational structure and practices
- D. Discussion of Judicial Council's interaction with other governmental agencies, entities and individuals
- E. Challenges and constraints the Judicial Council has faced over time and strategies used to overcome them (in general and more specifically in relation to dealings with external parties)

Action planning (required component):

Action planning is a required element of training that represents the synthesis of information, knowledge and skills acquired during training. The action plan shows steps participants intend to take in order to use what they have learned and discussed during training. The training provider should frequently remind participants during training to consider new ideas and discussions in the context of their action plan(s). At the end of the program, there should be a facilitated action planning session and participants should prepare a written action plan (or strong draft) intended for implementation.

Projected Follow-on Activities

The JSI will work with all the members of the learning tour or a small working group of these members to design proposed improvements to the operations and organizational structure of the SJC. The JSI will work to gain acceptance for the proposed improvements by members of the SJC. The JSI will provide technical assistance as needed to the SJC in improving its processes and performing any restructuring.

Funding Priority of Training Event

- A1. This activity is considered central to closing the performance gaps identified in the Performance Assessment

TRAINING EVENT

Training Management

Dates and Duration: Considering the busy schedules of the likely participants, the study tour should consist of 3.5 working days rather than five. The group should arrive in Denmark on

Tuesday, meet with Danish experts and practitioners on Wednesday, Thursday and Friday, and discuss action planning and follow up with JSI representatives (and Danish colleagues, if possible and useful) on Saturday morning. The cultural components of the program should take place during the evenings and on Saturday afternoon, and the group should depart for Belgravia on Sunday. Ideally, the program will take place in late October or early November.

Training Venue: Third Country

Type of Course: New Event

PROJECTED START DATE 3RD QUARTER OF FY 2009

Training Duration in weeks: 1

PART OF HICD/TRAINING PLAN FOR 2009

Number of Trainees to Attend Event:

Males: 5

FEMALES: 5

(USAID GOAL IS 50% FEMALE

PARTICIPATION)

Total: 10

Suggested Training Provider to Receive RFPs (if any) (please provide contact information)

The Danish Court Administration is suggested as Training Provider:

Denmark is the preferred choice of host country for this program. In Denmark, the Danish Court Administration is the central entity responsible for administration of the court system. For this reason, the Danish Court Administration (www.domstol.dk) is uniquely positioned to serve as formal training provider. Assuming that the Court Administration is available to provide this service, USAID requests non-competitive selection of them as training provider. Implementation of the program will be contingent upon submission of a satisfactory program and budget, to be presented by the implementing contractor in the form of a full Training Implementation Plan and budget.

The E&E Handbook for Participant Training Procedures and Policies (Chapter 3) explains that “where it has been determined by the Mission that the training provider services for an event will not be competitively procured, [...] the Mission must request sole source procurement...” Approval of the training request includes identification of the Danish Court Administration as training provider without competition.

Background/Supporting Information

It is widely agreed that countries should create a strong and independent system of judicial administration. In Europe, there are generally two models of judicial administration systems: the Northern European and Southern European Models. The Northern European Model (Sweden, Denmark and Ireland) vests authority for judicial appointments and responsibility for all court administrative functions in an intermediary judicial council. In the Southern European model the council is completely advisory to the Minister of Justice who exercises all authority. Currently, there are increasingly more Councils for the Judiciary created in Europe, and the newcomers are all variants of the North European model.

Many believe that Councils for the Judiciary under the Northern Model contribute to the quality and the effectiveness of the system of the administration of justice. The advantages and success of the Northern Model are attributed to the presence of a professional and specific organization responsible for the judicial management and budget affairs that acts as a buffer between the judicial organization and the Government. Many advocate that for their operational management, courts should be left to their own devices.

With the recent increase in the SJC's functional responsibilities, Belgravia, which already reflected many elements of the Northern Model, has moved even closer towards the Northern European Model. It is therefore recommended for the study tour to visit one or two of the three countries representing the Northern European Model.

Trainee Profile

Criteria for Candidate Recruitment and Selection

Candidates will be identified: See explanation below

Explanation:

The group will consist of 10 - 15 participants. The SJC has statutory responsibility for the administration of the courts and current planning about participants in the study tour group assumes that this will continue to be the case for the foreseeable future. Most of the participants, therefore, will be members of the SJC and key staff members from the Office of the General Secretary's Office of the SJC. The SJC's standing committees are Court Administration, Budget and Finance, and European Integration all of which are involved in the development and establishment of a system for National Administration of the Courts.

There may also be a small number of participants from other key institutions with a voice in administration of the judiciary - such as from the Ministry of Justice and the Judiciary Committee of Parliament. One or two representatives from the USAID Judicial Strengthening Initiative will probably join the group as technical observers. Finally, in the interest of donor cooperation, it is also possible that a representative from the Spanish Phare delegation focusing on judicial reform will join the group.

Summary of Desired Candidate Qualifications:

SJC members and staff who understand the need for adjustments and will be able to make good use of best administrative practices observed in the host country.

ENGLISH LANGUAGE TESTING

Interpreter Requested: Yes

Language(s) required: Belgravian

COST ESTIMATES

ESTIMATED COST: \$4,500 PER TRAINEE

Cost sharing:

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Funding source: FORECAST II task order

Approval:

For the USAID/Country S.O. Team:

Name, Title

Date

For the USAID/Country Program Office:

Name, Title

Date



Appendix 1.15 Performance Solution Request Form - Technical Assistance

From: [Name, Title, USAID/Country]
 [Name, Program Officer, USAID/Country]
 To: [Name, Project Director, FORECAST/Country]
 Date:
 Subject: Intervention Request: [Title of Program - Technical Assistance]

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective #

Intermediate Result #

Intervention Plan: This event was/was not foreseen in the Mission's FY 20xx HICD/Training plan.

Situation/problem:

Technical Assistance Intervention needs:

Intervention output: As an immediate result of the intervention,

Intervention outcome: In the short to medium term,

Performance indicators:

Terms of Reference (in chronological order):

- 1.
- 2.
- 3.

Profile of expert(s):

Intervention period:

Location:

Language of the intervention: (Interpretation [will/will not] be provided.)

Procurement: This program [will/will not] be procured competitively

Estimated cost: \$ [xx,000]

Cost sharing:

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Responsibilities of intervention:

Approval:

For the USAID/Country S.O. Team:

Name, Title

Date

For the USAID/Country Program Office:

Name, Title

Date



Performance Solution Request Form: Technical Assistance- Template Guidance - Belgravia Example

From: Program Officer, USAID Belgravia
 Health Specialist, USAID Belgravia
 To: [Implementing Contractor] Country Director
 Date: March 28, 2009
 Subject: Intervention Request: Hospital Management - Technical Assistance

USAID Strategic Objective/Intermediate Result addressed:

Strategic Objective # 3.2 Improved Selected Primary Health Care Services in Targeted sites;
 Intermediate Result # 3.2.1 Health Resources Efficiently Managed

Intervention Plan: This event was foreseen on the Mission's FY 2009 HICD plan.

Situation/problem: The 1200-bed University Hospital Center in Datchet is the most important hospital in Belgravia and is regarded as a model by hospitals in the districts. Yet, with equipment often in disrepair, some medicine and other supplies in short supply, medical staff's state salaries low, considerable under the table fees common, and citizens aware of much better conditions in neighboring countries, improving the services of this hospital is a priority of the new government. Many donors in the past have undertaken significant projects designed to refurbish buildings, purchase equipment and train staff and the World Bank has recently agreed to fund major infrastructure improvements. In an effort to improve both the efficient use of resources and health care services offered at the hospital, the Ministry of Health also recently announced a plan to significantly reduce the current 700+ physicians from a nearly 1:1 physician-patient ratio to 1:2. Of the 95 administrative staff, 77 are part of the economic directory. While the University Hospital Center has a Master Plan to improve management and care, it has no road map of concrete steps needed in order to reach it.

The management of costs associated with the 34,000 outpatients that use the facilities of the University Hospital Center annually and do not figure accurately in the management plan presents a particular problem. Since January 2000 hospitals in Belgravia have had the authority to collect fees from outpatients and retain 70% of collections for bonuses. The remaining 30% is to be directed towards hospital investment and operational expenses. The University Hospital Center in Datchet has set up a system to collect fees from outpatients according to rates set by the Ministry of Health but many outpatients manage to avoid paying such fees. The fact that some departments, such as laboratories, generate a large portion of the revenue, which is then distributed equally among departments, leads to frequent dissatisfaction. Outpatients generated \$700,000 in revenue in 2005. The 2006 budget foresees approximately \$10.3 million for hospital salaries and \$15.2 million for other expenses including investment.

Other management challenges include loss of supplies such as sheets and mattresses, maintenance of equipment. The hospital does not have norms defining systematic replacement

of such supplies. The inability of administrative staff to determine and report the cost of specific medical or custodial services makes sound decision-making difficult. Finally, the lack of communication and information sharing slows decision-making and reduces the efficacy of administrative staff, often leading to a stoppage of work if the head of the department is not present.

Intervention output: As a result of the intervention, the University Hospital Center administration will have a clear road map for continued improvement and the ability to implement the next steps.

Intervention outcome: In the short to medium term, services will be visibly improved.

Performance Indicators: Users of the University Hospital Center services will be more satisfied.

Terms of Reference (in chronological order):

- Analyze the current status of the University Hospital Center management, drawing information from the Master Plan and other documents and interviews with various stakeholders including employees, patients & their families, and Ministry of Health officials;
- Identify the strong points and gaps to be addressed regarding the University Hospital Center management, including short term solutions (quick fixes that could bring immediate improvement for in- and out-patients and employees) as well as medium term solutions (up to three years);
- Draft a road map of concrete steps with targets to be taken to achieve the short term (one year) solutions.
- Assist staff to estimate costs and benefits associated with the road map.
- Work with University Hospital Center staff to implement the most do-able tasks, especially those that can bring immediate improvement for patients and employees;

Profile of expert: The expert should have practical experience with the design and implementation of hospital management improvement strategies.

Intervention period: approximately 3 months, preferably [period]

Location: Datchet, Belgravia

Language of the intervention: Belgravian/English (Interpretation will be provided.)

Procurement: This program will be procured competitively among international consultants specialized in hospital management.

Estimated cost: \$34,000

Cost sharing: The University Hospital Center will provide interpretation.

Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention. Consultant would be housed in a rented apartment.

Responsibilities of intervention: This program will be fully funded by USAID through [name of HICD project]/Belgravia.

Approval:

For the USAID/Belgravia S.O. Team:

Health Specialist

Date

For the USAID/Belgravia Program Office:

Program Officer

Date



USAID
FROM THE AMERICAN PEOPLE



**APPENDIX 1.16 COMMUNITY CONNECTIONS EXCHANGE
VISITOR REQUEST FORM**

A.1	<p>Group Type: Professional Business</p>
	<p>Group Name:</p>
	<p>Sending Country:</p>
	<p>Country City/Region:</p>

A.2	<p>USAID Country:</p>
	<p>USAID Officer:</p>
	<p>Position:</p>
	<p>Office:</p>
	<p>Telephone Number:</p>
	<p>Fax Number:</p>
	<p>E-mail Address:</p>

A.4	Recruiting Organization Contact:
Name:	
Organization:	
Address:	
Telephone Number:	
Fax Number:	
E-mail Address:	

A.5	Projected Arrival Date ___ Quarter of FY _____
	Program duration in weeks:
A.6	Number of Visitors:
	Males:
	Females:
	Total:

A.3	US Embassy:
Contact Name:	
Telephone Number:	
Fax Number:	
E-mail Address:	

Section B: Intended Group Results

B.1	Overall Program Objectives:	
B.2	Intended program outcomes based on these overall CC Program Goals:	
	a.	How will exposure to institutions and challenges of a democratic, free - market society benefit group participants?
	b.	What changes may be implemented by group participants in their home country?
	c.	What public-private partnerships may develop as a result of this program?
	d.	How will personal and professional linkages between American host communities and the participants' home communities benefit this program/sector?
B.3	How will visitors apply Knowledge, Skills, Attitude (KSA) upon program completion:	
B.4	Program Components:	

	a.	Professional Groups (50% Observation/50% hands-on activity): Suggested site-visits: Suggested seminars/talks/classroom:
	b.	Business Groups: Suggested Internships:
B.5		Projected Follow-On Activities:

Section C: Visitor Profile

C.1	Criteria for Candidate Recruitment and Selection
	How will candidate(s) be identified:
C.2	Summary of Desired Candidate Qualifications:

C.3	English Language Testing:
	Interpreter requested? Language(s) required

Section D: Cost Estimates

D.1	Estimated Total U.S. \$ Cost per Visitor		
	Type		Amount
	Instructional Cost:	\$	0
	Trainee Cost:	\$	0
	Travel Cost:	\$	0
	Total Est. Cost:	\$	

D.2	Funding Source		
USAID		Amount	Description
Other:	\$	0	
Contract:	\$		
Other:	\$	0	
Other:	\$	0	
Other:	\$	0	
Total USAID	\$		
Other Resources		Amount	Description (US\$ cost-share and/or in-kind)
Employer:	\$	0	
Host Gov't:	\$	0	
Private:	\$	0	
Hosting Organization:	\$	0	
Other:	\$	0	
Other:	\$	0	

Other:	\$	0	
TOTAL	\$	0	

Section E: Approvals

Approved by:	Position:	Date:
Comments:		

2. FORECAST II INTERVENTIONS

There are four types of interventions available to Missions and Bureaus under the FORECAST II IQC: participant training (US-based, third country and in-country), academic training, training-related small grants and training-related technical assistance. In this chapter, you will find the policies and procedures for these FORECAST II interventions.

Participant training is either short-term technical training and/or longer-term, degree-earning academic training for mid- to high-level professionals from the public and private sectors that may be conducted in the U.S., in third countries, or in-country, depending on the goals of the intervention and the most efficient, results-oriented, cost-effective manner. Training is a structured experience (i.e., "just in time learning") that helps individuals acquire new, predetermined knowledge, skills, and attitudes (KSAs), to address and/or solve targeted operational problems.

Training-related small grants are grants of up to \$10,000. Each grant is awarded and administered to fund participant training grantee initiatives. Training-related technical assistance is individually designed, sector-specific technical assistance.

2 (a) Authority Reference

This chapter provides IQC-COTR best-practice policy and procedural guidance, in accordance with the ADS 252, ADS 253, and the FORECAST II IQC.

2 (b) Training-for-Results Chain

The Training-for-Results Chain (TRC), shown as Figure 1, is a tool developed for USAID staff, central training implementation contractor(s), and technical assistance contractors to assist in both the design of individual training activities and the compilation of a Mission-wide training plan that directly supports the achievement of a Mission's Strategic Objectives. It should also be noted that the TRC is an effective tool for planning and monitoring other training interventions such as training-related technical assistance, small grants and partnerships.

Comprised of eight interconnected and sequential links, the TRC is used:

- from the top to the bottom on the left-hand side to PLAN training interventions; and
- from the bottom to the top on the right-hand side to MONITOR and EVALUATE training interventions.

Planning consists of the following activities, shown as links on the diagram:

Link 1	Strategic Objective (SO) Teams discuss how a specific Strategic Objective can be effectively supported by training.
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- Link 2 SO Teams clarify which of the Strategic Objective's Intermediate Results can be supported by one or a series of training activities.
- Link 3 The extended SO team (including USAID staff, technical assistance contractors, and training implementation contractor(s) identifies the Partner Organization(s) that contributes to achieving the intermediate results.
- Link 4 The extended SO Team identifies the individual Work Group(s) within the partner organizations that needs to function differently and that will benefit from training interventions.
- Link 5 The extended SO team clarifies the Training Application(s) by identifying specific knowledge, skills, and attitudes that key personnel within the partner organizations and work groups need to adopt in order to enhance performance.
- Link 6 The extended SO Team defines specific, measurable objectives that will help focus Trainee Learning.
- Link 7 The extended SO Team suggests components of the training intervention that will help the activity succeed.
- Link 8 Based on the above information, central training implementation contractor(s) and technical assistance contractors design training interventions as part of their Training Management responsibilities. The result is the implementation of a training intervention that is directly related to the targeted SO and IRs

Once the training is completed, the evaluation process ties training interventions back to the results framework through the following links:

- Link 8 USAID/Washington and Missions monitor central training implementation contractor(s) and technical assistance contractors involved in Training Management to determine if they are following USAID rules and regulations. Overall effective/efficient use of resources to meet the Mission's Strategic Objectives is also monitored.
- Link 7 Central training implementation contractor(s) and technical assistance contractors monitor individual training events and other training-related interventions through site visits, telephone interviews, and exit questionnaires, as appropriate. Results are included in a final training event/activity report provided to Missions.

Link 6 The extended SO Team learns the immediate effect of the training on each Trainee's Learning from the results of the exit questionnaire, which includes a self-assessment of new knowledge, skills, and attitudes gained. Results are included in the final training event report.

USAID/E&E Training-for-Results Chain



E&E BUREAU REGIONAL PARTICIPANT TRAINING

<http://www.eetraining.net>
http://www.usaid.gov/regions/europe_eurasia/

- Link 5 Over time, the extended SO team monitors the Application of knowledge, skills, and attitudes in the workplace, through follow-up questionnaires and interviews with selected trainees. Interview results are provided to USAID/Washington and Missions.
- Links 4 & 3 The extended SO team reviews stakeholder agreements and action plans and compiles success stories to document performance changes in Work Groups and Partner Organizations. Success stories are provided to Mission management and USAID/Washington. Complementary evaluations may also be conducted to examine particular successes or problems.
- Link 2 The extended SO Team participates in the annual reporting process and identifies if and how training contributed to the targeted Intermediate Results.
- Link 1 The extended SO Team uses the annual reporting process to identify lessons learned. The lessons are used to develop a new HICD and Cross-Cutting Activities plan that will further the achievement of targeted Strategic Objectives.

2.1 POLICY AND PROCEDURES FOR US-BASED TRAINING

All training funded by USAID through its worldwide missions must comply with Agency Directives ADS 252 and 253. This chapter closely follows these directives as well as supplemental ADS guidance. ADS 252 and 253 take precedence over the contents of this handbook. This handbook does not contradict the ADS.

This section outlines and specifies the required preparation and documentation necessary to conduct USAID-sponsored U.S. participant training (UST). While this section lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. For FORECAST II Task Orders, any additional requirements must be reviewed by the FORECAST II IQC COTR to ensure that they comply with Agency directives and the central training implementation contractor(s)' task orders.

While this chapter has been written specifically for the FORECAST Participant Training Program, the guidance contained within is strongly recommended for *all* USAID training, including technical assistance training.

2.1.1 Human and Institutional Capacity Development and Cross-Cutting Activities Plan

Missions must develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan (described in Chapter 1 <http://inside.usaid.gov/EGAT/off-ed/index.html> [1.6, page on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Crosscutting Activity Plan contains all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.1.1.1 Accessing the Participant Training Program

Missions access training services provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan.

2.1.2 Performance Solution Request for Training Form (PSR-T)

Utilizing the services of the central training implementation contractors, USAID/Missions develop each PSR-T (formerly know as the TIRF, see Appendix 1.10, in Chapter 1 for a sample), which identifies the goals and expected outcomes for a given training program and requests the central training implementation contractors to implement the intervention. As part of the integrated services package of FORECAST, the central training implementation contractors may develop and draft all PSR-Ts on behalf of the respective Mission, with USAID input and with USAID support, or,

Missions may provide the central training implementation contractors with completed PSR-Ts for training activities.

The PSR-T guides the drafter through the necessary elements that make up a sound and well-developed participant training request. Necessary elements of the PSR-T include tying the event into a Mission SO framework by presenting the intended results and outcomes, the skills to be acquired, and any follow-on activity. Estimated costs for the event are also to be included. Other information fields include participant selection criteria, venue, English testing, and suggested training provider.

2.1.2(a) Multi-Mission Training Events

For multi-Mission training events, the Mission technical officers and the central training implementation contractor field offices will produce the PSR-T. Final design of the PSR-T must be coordinated equally by all Missions and contractors involved in the training event regardless of which country originated the training event concept or is piggybacking onto it. While all Missions will collaborate on the content of the PSR-T and the final design of the event, each Mission involved must create their own PSR-T indicating the number of participants who will attend the event from their country. Under the FORECAST II IQC, the IQC COTR must be notified when multi-Mission training events are planned.

2.1.2(b) Follow-On Requests

While remaining an integral part of the overall HICD and Crosscutting Activities Plan, follow-on activities to a training event must be requested separately as another training activity, prepared on a separate PSR-T that includes the appropriate budget information.

2.1.2.1 Lead Time

Appropriate lead-time must be considered when requesting a training event. When a PSR-T for UST is ready to move forward, the minimum lead-time for implementation of the event is twelve weeks. The minimum twelve-week lead-time must be adhered to regardless of the type of training, be it a tailored program, conference, or seminar; the number of participants; or the type of procurement. The lead-time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training, allows for proper visa processing, and allows the Mission and central training implementation contractor the opportunity to thoroughly review the training implementation plan to ensure full preparation of the participants. Missions may opt to establish longer lead times and must state the minimum lead-time in their Mission Order for Participant Training.

2.1.2.2 Venue Considerations

The selection of appropriate venue is a function of several decisions, most importantly, how best to achieve the objectives at a reasonable cost. The Strategic Objective and

HICD processes focus the attention on the objectives, the training content, and the participants. Equally important is the venue.

When selecting the training venue, the emphasis and consideration must be on the needed outcomes of the program. The main issue is which venue will ensure the highest quality of training. Quality, for training provided under the FORECAST II IQC, refers specifically to the outcome, the impact, and the “deliverable useful results.” At a project level, there are three parameters to balance: quality (outcomes of event as they relate to Mission objective), quantity (number of participants trained), and cost (both event costs and overall project costs).

In general, US training provides the content benefits of immersion and experiential learning, a focus on theory or a US model, US linkages, and team formation. Conversely, a potential concern of US-based training is greater difficulty in relating the training experience to the home country context. The management benefits of US training are that procedures are well established and budgeted, and training coordination is shared between the central training implementation contractor’s home and field offices. Sections 2.3 and 2.4 elaborate on the relative benefits and concerns of third-country and in-country training venues, respectively.

2.1.2.3 Cost Guideline

The participant training cost guideline is provided as a management tool for determining cost reasonableness and must be observed. For U.S. training, the FORECAST II IQC central training implementation contractor(s) must obtain Mission approval if the per participant/per week costs exceed the following guidelines (guidelines include all training fees, interpretation, daily lodging, M&IE and domestic travel): \$3,800 per participant/per week for events with 8 participants or fewer; \$3,200 per participant/per week for events with 9 or more participants. Implementing contractors not conducting training under the FORECAST II IQC may consider these guidelines as best practices based on experience.

2.1.2.4 Approval Process

All PSR-Ts must be approved by the Mission. Each Mission decides its own approval process and documents it in its Mission Order for Participant Training. Approval usually occurs when the Mission signs a hard copy of the PSR-T. As they become part of the HICD and Crosscutting Activities Plan, PSR-Ts are often reviewed and signed by several managers in the Mission that may include the SO Team leader, Program Officer, and Mission Director. When all required approvals are received, the central training implementation contractor may begin to commit to or incur costs.

2.1.3 Participant Eligibility and Selection

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who have appropriate qualifications, perform well, complete the training on time, benefit from the training,

and are highly likely to apply the training in furtherance of USAID program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. If the Mission is utilizing the HICD approach, candidates are identified and selected as an outcome of the HICD assessment process. Selection committees are most effective when they include Mission, host-country, and private sector officials who are all stakeholders in the training program. Agency-wide participant eligibility requirements can be found in both ADS 252 and 253, Sections 252.3.2, p. 5 <http://www.usaid.gov/policy/ads/200/252.pdf>, and 253.3.1.1, p. 6 <http://www.usaid.gov/policy/ads/200/253.pdf>. The Foreign Assistance Act of 1961 § 660(a) generally prohibits USAID from funding police training. There are exceptions to this prohibition contained in the 2005 FOAA and continued in the 2006 FOAA, as well as in other authorizing legislation that allows certain assistance to policing forces under certain circumstances and within certain parameters. All sponsoring units must consult with their regional legal advisor or cognizant Office of the General Counsel when developing programs in this area.

For further guidance on providing assistance to foreign policing authorities, please see <http://www.usaid.gov/policy/ads/200/updates/iu2-0702a.pdf>

2.1.3(a) USAID Grantee or Cooperative Agreement Recipient Staff

USAID grantee or cooperative agreement recipient staff may be eligible to participate in participant training programs. These participants may continue to receive salaries during their training program participation as long as the grant or cooperative agreement authorizes it or if the Mission or Regional Contracting Officer otherwise authorizes it.

2.1.3(b) USAID Contractor Staff

USAID contractor staff are eligible to participate in training activities as participants. They may, however, attend training programs as observers if they fund their own attendance and do NOT use the central training implementation contractor for any logistical assistance. However the presence of staff from partner projects is often desirable because this helps the respective partner to work with stakeholders after training to implement practices observed and discussed during training. Such observers must be included in pre-departure orientation discussions so that their roles are clearly defined to the entire group. This approach will ensure that observers understand how the program is organized and lessens the chance that the observers might disrupt the program by attempting to change the schedule and/or aspects of the program.

Please note that observers may not travel on a J-1 visa and are not eligible for Health and Accident Coverage (HAC).

2.1.3(c) Contractor Staff Family Members

Family members of USAID Contractors and their sub-contractors, including the central training implementation contractor, may participate in training activities as participants. They are subject to the same policies and procedures as all other training program applicants.

2.1.3(d) Dependents

In consultation with the USAID Responsible Officer, FORECAST II Missions must establish their own policies governing the travel of dependents to accompany US training participants and their J-2 visa eligibility. Sponsoring units should keep in mind that dependents accompanying participants in short-term training of 1-3 weeks may be counter-productive to learning and group dynamics. Dependents are subject to the same policies and procedures as all other training program applicants as outlined in ADS 252 <http://www.usaid.gov/policy/ads/200/252.pdf>, and 253 <http://www.usaid.gov/policy/ads/200/253.pdf>, and in the Mandatory Reference for ADS 253, "Detailed Guide for Training Results," Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>.

2.1.3(e) USAID and STATE Program Alumni

Under FORECAST II, for U.S. training efforts are made to avoid the nomination of individuals who participated in USAID-funded training programs within the previous 12 months. Repeat participants must obtain a new DS 2019 Certification of Participant Eligibility (described in 2.2.4). This policy is extended to Department of State-sponsored participants as well. The Participant Training Application form (see 2.2.3.1 below) will indicate any previous USG-funded training.

2.1.3.1 Participant Application

Based on Mission selection of training candidates, the central training implementation contractor issues invitations to candidates who may apply for participation in participant training activities. Selected participants are then required to complete a training application form and submit it to the central training implementation contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event.

All training application forms must contain the following language near the applicant's signature line: *Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the activities that I may undertake under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties.*

2.1.3.1(a) Dependent Certification

Policy on dependent certification must be consistent with Mission policy on dependent travel described in 2.2.3(d) above. See also ADS 253, Section 253.3.1.1, p. 7, <http://www.usaid.gov/policy/ads/200/253.pdf> and the Mandatory Reference for ADS 253 “Detailed Guide for Training Results,” Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>. See [Appendix 2.1 Dependent Certification Form](#).

2.1.4 Certification of Participant Eligibility

Under the FORECAST II IQC, the central training implementation contractors provide an integrated services package that includes certification of participant eligibility, security risk and fraud inquiry, submission of participant information into TrainNet, visa application consulate filing, HAC insurance enrollment, language proficiency determination, and pre-departure orientation.

In accordance with Departments of State and Homeland Security regulations and USAID policy, training participants must enter the U.S. on a J-1 visa (non-immigrant exchange visitor visa) processed under USAID authority. A Certificate of Eligibility Form DS-2019, and other supporting documents, must be submitted to the U.S. consulate in order to apply for a J-1 visa.

Agency policies, as well as supporting procedures and systems, for obtaining a DS-2019 form reflect requirements of the Student and Exchange Visitor Information System (SEVIS). As part of the integrated services package of FORECAST II, the central training implementation contractor will provide a full-range of services related to USAID visa compliance for training participants. In short, in order to obtain a DS-2019 form, information about the perspective participant must be submitted to SEVIS using the USAID Training Information Network (TrainNet), verified, and approved using the USAID Visa Compliance System (VCS). The DS-2019 form is generated by SEVIS, signed by the EGAT/ED Responsible Officer or an Alternate Responsible Officer, and expeditiously sent to Missions for consulate filing. See ADS 252, Section 252.3.5.3 <http://www.usaid.gov/policy/ads/200/252.pdf>.

2.1.4.1 Security Risk and Fraud Inquiry

In accordance with USAID policy, a Security Risk and Fraud Inquiry must be conducted for each USAID-sponsored training participant. As part of the integrated services package of FORECAST, the central training implementation contractors will provide services and maintain documentation related to this inquiry as specified by each Mission in their Mission Order for Participant Training and in accordance with ADS 252 and other agency directives. See ADS 252, Section 252.3.3 p. 9, <http://www.usaid.gov/policy/ads/200/252.pdf>.

2.1.4.2 Submission of Participant Information

To maintain consistency and to facilitate Missions meeting their obligations, it is a best practice for the central training implementation contractor to enter all training

implementers' participant training data into TraiNet. Data entry services are part of the FORECAST II integrated services package under the fee for service mechanism. Coordination of the collection of data must be outlined in the Mission Order for Participant Training. In cases where a mission has not funded training through a FORECAST II task order, training implementers may access these services through the FORECAST II central training implementation contractors' fee for service mechanisms. All FORECAST II central training implementation contractors are required to have the fee for service schedule. The central training implementation contractor enters all training participant data into TraiNet. TraiNet is the single source of all data necessary for obtaining a DS-2019 form for participant training in U.S.-based activities. All required information about the prospective participant must be entered into TraiNet at least three weeks in advance of the planned date for filing the DS-2019 form with the consulate. See ADS 252, Section 252.3.5.1 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 12.

2.1.4.3 Verification of Participant Information

Once entered into TraiNet, all data necessary for obtaining a DS-2019 form, must be verified by the TraiNet operator's supervisor, using the USAID Visa Compliance System (VCS). See ADS 252, Section 252.3.5.2 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 13.

2.1.4.4 Approval of Participant Selection

For each U.S bound training participant and each U.S.-based activity, Missions must approve all participants and all data necessary for obtaining a DS-2019 form, using the USAID Visa Compliance System (VCS). See ADS 252, Section 252.3.5.3 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 13.

2.1.5 Visa Application Consulate Filing

The central training implementation contractors will provide services related to visa application consulate filing as part of the FORECAST II IQC integrated services package (see 2.2.4) as specified by each Mission in their Mission Order for Participant Training and local consulate directives. See ADS 252, Section 252.3.5.1 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 12.

2.1.5(a) Two-Year Foreign Residency Requirement

Under terms of the Immigration and Nationality Act, participants of U.S.-based participant training activities must reside for a total 24 months in their respective host country before being eligible for H-1 or L-1 non-immigrant visas or for legal permanent residence in the U.S. This residency requirement does not prevent returned participants from other types of visas. See ADS 252, Section 252.3.6.1 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 15.

2.1.5(b) Employment

Policy on employment while participating in a USAID-sponsored training program is provided in ADS 252.3.6.4.,p17, <http://www.usaid.gov/policy/ads/200/252.pdf> and 253.3.1.4, p.17 <http://www.usaid.gov/policy/ads/200/253.pdf>,

2.1.5.1 Health and Accident Insurance Coverage

Appropriate Health and Accident Insurance Coverage is required for all training participants. Enrollment of all U.S.-based participants in the agency's Health and Accident Coverage (HAC) Program is a J-visa eligibility requirement and requires completion of a Medical History and Examination Form. ([See Appendix 2.2 – Medical History and Examination Form 1382-1.](#)) All training participants must be enrolled in HAC Plan B. The central training implementation contractors provide for HAC enrollment under the FORECAST II IQC integrated services package (see 2.2.4).

HAC Plan C may be used for those individuals traveling under the FORECAST II IQC who are properly categorized as Government Visitors. Government Visitors are influential or distinguished individuals selected by USAID to consult, observe, train, or demonstrate special skills. The Government Visitor category is generally restricted to high-ranking government officials. HAC Plan C is available for Government Visitors traveling to the United States for thirty (30) days or less.

HAC Plan C may be used when it is in the best interest of a Mission or Washington Office. Because HAC Plan C does not require a medical examination, the possibility of substantial financial loss to USAID exists should an exchange visitor require medical care that would otherwise have been detected through a medical exam. Therefore, Agency best practices caution against the use of HAC Plan C. Missions should fully understand the risks they may face before approving the use of HAC C.

For further details, see ADS 253 and the HAC Insurance and Certification of Medical Eligibility,253.3.1.3, <http://www.usaid.gov/policy/ads/200/253mab.pdf>.

2.1.5.2 Language Proficiency Determination

The central training implementation contractor must ensure, for J-visa eligibility, that training participants are sufficiently proficient in the English language to fully participate in their participant training programs before they enter the U.S. While the use of interpreters may be advisable for ensuring the maximum effectiveness of some training interventions, it does not negate this policy. In exceptional cases, USAID sponsoring units may grant a waiver or exemption of the language verification requirement. Missions may establish criteria for determining English proficiency in their Mission Orders for Training. If a Mission chooses to base its determination on testing, the central training implementation contractors must administer the test. Language proficiency determination is included in the FORECAST II IQC integrated services package outline in Section 2.2.4. See ADS 253, <http://www.usaid.gov/policy/ads/200/253maa.pdf>.

In addition, the FORECAST II central training implementation contractors must also verify that all training participants are able to understand and respond correctly to typical questions asked at the U.S. port of entry using all of the following sample questions that are indicative of what an immigration officer might ask our participants:

- ❑ *Where are you going?*
- ❑ *Are you here for pleasure or business?*
- ❑ *What is the purpose of your travel to the US?*
- ❑ *Who paid for your trip?*
- ❑ *Will you receive any compensation while being in the US?*
- ❑ *Do you plan to work in the US?*
- ❑ *Your Last (First) name appears misspelled on DS-2019 Form. Please explain.*
- ❑ *The program start date is the day before yesterday. Why are you late?*
- ❑ *Why does your birthday appear as 07/08/1961 on your form, and as 08/07/1961 in your passport?*
- ❑ *Do you have any relatives in the US? Do you plan to visit them?*

2.1.6 Training Provider Selection

Training Provider services under the FORECAST II IQC will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the central training implementation contractor(s) and approved by the Office of Acquisitions and Assistance, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

2.1.6.1 Training Provider Database

On an on-going basis, the FORECAST II central training implementation contractors invite training providers to submit proposals that detail their institutional capabilities and experience.

All training providers meeting the requirements for potential inclusion will be entered and maintained in the central training implementation contractor's training provider database. The central training implementation contractor will use only the pool of training providers in their training provider database for the procurement of specific

training events. The central training implementation contractors will perform on-going outreach to recruit new providers for inclusion in this database.

2.1.6.2 Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisition and Assistance directives, the FORECAST II IQC central training implementation contractors must determine the mode of procurement (competitive, non-competitive, and sole source). However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. Where it has been determined by USAID that training provider services for an event will not be competitively procured, a request for non-competitive or sole source procurement with appropriate justification must be provided in the PSR-T.

The FORECAST II IQC requires that the central training implementation contractor(s) obtain training proposals from **all** training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The central training implementation contractor(s) is responsible for ensuring the quality of all training and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process. Training conducted under other mechanisms may benefit from following these best practices in procurement.

2.1.6.2(a) Competitive Procurement

The FORECAST II central training implementation contractor(s) must competitively solicit for training services to carry out tailored U.S. training events. If possible, the central training implementation contractor(s) should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the FORECAST II IQC and approved by USAID's Office of Acquisition and Assistance. Documentation of the interaction should be retained in the central training implementation contractor's program files.

For multi-mission events that are to be competitively procured, the central training implementation contractor will work on the text of the Request for Training Proposal and will identify potential training providers to receive it. The central training implementation contractor will also carry out all administrative responsibilities for running the competition.

2.1.6.2(b) Non-competitive Procurement

There will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively.

The criteria for non-competitive procurement are as follows:

- The training activity is advertised with a published cost per participant and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the field Mission is largely identical to a training activity competitively awarded in the past. Further, the evaluation of the program was better than average. The cost of the program should therefore decline because the development costs were captured in the original award.
- The training activity is based on participant involvement in technical assistance programs. Given an established relationship between participants and the provider of technical assistance, the training will further that relationship. To move to a different provider would weaken the training.
- The training provider will charge no tuition for the classroom components of the training activity; out-of-pocket costs will be charged with no fee or overhead. However it should be noted that free training does not necessarily mean quality training.

For all non-competitive procurements, the central training implementation contractor(s) will provide the Mission with documentation which supports non-competitive procurement in either of the following cases: 1) the Mission has mandated a training provider without competition and the circumstances meet the criteria for non-competitive procurement; or 2) the central training implementation contractor has identified, through research, a potential provider where the circumstances meet the criteria for non-competitive procurement. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation must be included in the PSR-T and must be approved by the Mission.

2.1.6.2(c) Sole Source Procurement

In other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified for a non-competitive procurement, the Mission must request sole source procurement.

2.1.6.3 Procurement Documentation

The required documentation for the procurement of training providers is determined by the mode of procurement utilized, but will include the Selection and Recommendation Memo, and, if appropriate, the Sole Source Justification.

2.1.6.3(a) Recommendation and Selection Memo

Once potential providers submit bids for procurement, the material sections (training design and cost) of each proposal are carefully reviewed by the central training implementation contractor. The central training implementation contractor(s)

recommends the most cost-effective, quality training program to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the training event. The recommendation memo may also serve to clear approval for any costs exceeding ceilings or the PSR-T budget. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

All proposals (not just the recommended one) are shared with the USAID project officer/SO Team. It is not necessary that the least expensive bid be chosen, but the program with the best value to USAID should be selected.

The USAID Mission ultimately selects the training provider. The Mission may not necessarily choose the central training implementation contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The central training implementation contractor will generally request explanation from the Mission should their recommended provider not be chosen.

2.1.6.3(c) Sole Source Justification

In those instances where the Mission has requested sole source procurement with a specific training provider, the central training implementation contractor will prepare, appropriate documentation for the sole source procurement using justification provided by the Mission. Such documentation must be included in the PSR-T. If Mission approval has not been obtained through the PSR-T, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

2.1.7 Training Implementation Plan

The [Training Implementation Plan \(TIP\)](#) is the central training implementation contractor's detailed training intervention design prepared in response to the PSR-T. The TIP covers each segment of the training intervention, including relationships of training components to strategic objectives, the training institution and the location, specific training activities, and duration of each segment. The TIP describes how the training objectives will be achieved and provides a budget estimate. Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- language of training and interpreter details;
- observers or others traveling with the group;
- training subject;
- training dates;

- program objectives;
- itinerary including day-to-day description of course and training methodologies;
- all logistical arrangements, including travel and lodging arrangements with corresponding daily costs; and
- budget worksheet.

The TIP must be approved and signed by the Mission. Should any training costs, in the course of execution, exceed by 10% what is indicated on the TIP, the central training implementation contractor must secure Mission approval.

For multi-Mission events a TIP must be executed for each participating Mission.

2.1.7.1 Arrange for Travel

Where USAID and the host country have agreements that stipulate that host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure (including incidental costs), USAID sponsoring units may wish to obtain either a country-wide or a program-specific waiver to allow USAID funding these arrangements. The waiver must be kept on file. Possession of the waiver must be reflected in the Mission Order for Participant Training.

2.1.7.2 Arrange for Lodging

The costs of daily lodging shall not exceed the lodging rates established in the U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates. The TIP must clearly indicate each city and the corresponding daily lodging rate(s).

The central training implementation contractor(s) must ensure that participants in training programs taking place at U.S. sites are housed in double-occupancy rooms. The costs of daily lodging must not exceed the U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates as established by the General Services Administration (GSA). Double-occupancy lodging cost per participant should be significantly below these prescribed rates, which are based on single occupancy.

To assist USAID with its efforts to contain costs, the central training implementation contractor(s) must make every effort to secure participant lodging at below CONUS rates. If circumstances force the lodging costs to exceed the maximum rate allowed by CONUS, justification and USAID approval must be documented by the central training implementation contractor(s).

If USAID determines that the double occupancy requirement be waived, documentation of the Mission waiver may be provided via the approved PSR-T, TIP, or other conveying document.

2.1.7.3 Participant Maintenance Allowances

USAID relies on a prescribed payment structure for participant maintenance allowances for all sponsored programs and this structure must be adhered to by central training implementation contractor(s) when structuring a program. ADS 253, Section 253.3.6.2 outlines Agency policy on allowances, including conditions under which adjustments must be made. The task order COTR must make all final determinations regarding allowance adjustments.

2.1.7.4 Arrange for Interpreters

While the use of interpreters may be advisable for ensuring the highest quality for training, it does not negate policy on J-1 visa eligibility (see 2.2.5.2). This external requirement for language proficiency determination cannot be waived by USAID.

The use of interpreters must be indicated in the PSR-T. Interpreters may be arranged to ensure the effectiveness of the training intervention. While the use of interpreters in USAID interventions may be advisable, it does not negate the J-1 visa eligibility requirement for language proficiency determination that participants know English well enough to effectively participate in the training intervention before they enter the US. (See 2.2.5.2).

2.1.8 Pre-Departure Orientation and Preparation

Pre-departure orientation and preparation is an integral component of participant processing. Appropriate pre-departure orientation and preparation is required for all USAID-sponsored participants in U.S.-based training. Full pre-departure orientation for participants of U.S.-based activities is a J-visa eligibility requirement.

2.1.8.1 Orientation

Sponsoring units (or implementers, as designated) must meet with U.S. bound participants prior to departure to provide orientation on the travel schedule, the goals of the activity, conditions of sponsorship, administrative details, and American culture and practices. Pre-departure orientation can be provided by the FORECAST II central training implementation contractor(s) as part of the integrated package of services (see Section 2.2.4).

2.1.8.2 Objective Memo

Before departure, each participant must sign an [Objectives Memo](#) that is prepared and provided by the central training implementation contractor. The memo outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement.

2.1.8.3 Conditions of Sponsorship

Before departure, each participant must also sign a [Conditions of Sponsorship Form for J-1 Visa Holders](http://www.usaid.gov/forms/a1381-6.doc) (USAID Form 1381-6, <http://www.usaid.gov/forms/a1381-6.doc>) provided by the central training implementation contractor. The essential terms are listed in ADS 252, section 252.3.6, <http://www.usaid.gov/policy/ads/200/252.pdf> p. 15 and ADS 253, Section 253.3.1.4, p. 10, <http://www.usaid.gov/policy/ads/200/253.pdf>.

2.1.8.4 Participant Action Plans

Action Plans may be required for FORECAST II IQC training participants, and are recommended as a best practice for use by other training implementers (See Appendix 2.7). Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider and other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan may be drawn up before the participants' departure, but it will evolve during the course of training. The Action Plan and Objectives Memo (2.18.2) may be used interchangeably.

In some instances, an action plan is not appropriate. If the U.S. training event is five days or less or is a conference with many participants with whom the central training implementation contractor does not have personal contact, then an action plan is neither necessary nor required.

2.1.9 Tracking U.S.-Based Participants

The vital importance to the United States Government of tracking international students and other Exchange Visitors enrolled in U.S.-based activities is documented in the Enhanced Border Security and Visa Entry Reform Act of 2002. The Department of Homeland Security, Immigration and Customs Enforcement (ICE), and Department of State, through the Student and Exchange Visitor Information System (SEVIS), manage the issuance of J-1 and J-2 visas, track students and Exchange Visitors, and monitor information relative to each Exchange Visitor.

Agency policies, as well as supporting procedures and systems, for tracking USAID-sponsored participants reflect these SEVIS requirements: (1) The central training implementation contractor must track the whereabouts of training participants at all times while they are in the United States and current contact information must be provided to the COTR at any time upon request; and, (2) The central training implementation contractor is also responsible for tracking training participants for timely return to their business or professional settings in their home countries.

Training participants must arrive in and depart from the US on the dates specified on the DS-2109.

2.1.9.1 Participant Status Changes – Via TraiNet and VCS

Throughout a participant's stay in the United States, the central training implementation contractor must transmit changes in a participant's status to the EGAT/ED Responsible Officer.

The following must be transmitted to the EGAT/ED Responsible Officer by entering the changes in participant status into USAID's Training Information Network (TraiNet), and verifying and approving the information using the USAID Visa Compliance System (VCS):

2.1.9.1(a) Participant Validation

Within the time period specified in ADS 252, the central training implementation contractor must provide validation that each participant has begun his or her activity. If validation is not received as prescribed, an EGAT/ED Responsible Officer will report the participant to SEVIS as a 'no show.'

2.1.9.1(b) Participant Biographical Data Updates

During the course of a participant's activity, the central training implementation contractor as required in ADS 252 must update any changes in the participant's bio-data.

2.1.9.2 Participant Status Changes – Via Written Notification

The following other information must be transmitted to the EGAT/ED Responsible Officer in writing:

2.1.9.2(a) Travel Outside The United States

Participants must obtain the approval of the central training implementation contractor for travel outside the U.S. while enrolled in a USAID-sponsored training or other visitor exchange activity.

The central training implementation contractor must ensure that participants' Certificate of Eligibility forms DS-2019 are endorsed with the signature of the EGAT/ED Responsible Officer or Alternate Responsible Officers before the participants depart the U.S.

2.1.9.2(b) Non-Returnees

The central training implementation contractor must track the departure status of training participants, and must inform the COTR and the EGAT/ED Responsible Officer in writing immediately if a participant becomes a non-returnee. The central training implementation contractor will also inform the COTR and EGAT/ED

Responsible Officer if a non-returnee is found to have returned to their home country at any time thereafter.

Efforts to reduce non-returnee rates must be continuous and focused on the planning, design, participant selection, and progress monitoring as well as on tracking participants' post-activity whereabouts.

2.1.10 Monitoring U.S.-Based Participants

The central training implementation contractor must monitor each training participant's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

2.1.10.1 Minimum Requirements for Active Monitoring

At a minimum, monitoring must include assurances that:

- The training participant visitor has arrived and settled into appropriate living quarters;
- The training meets both the technical and cost requirements of the approved Training Implementation Plan (TIP);
- The training participant is regularly attending scheduled activities and/or sessions of a technical training activity;
- Adequate levels of achievement are being met;
- No serious personal or health problems develop which impair the successful completion of the activity;
- The participant continues to have a valid passport, J-visa, and Certificate of Eligibility Form DS-2019;
- Departure arrangements are made upon completion or termination of the activity, and the COTR and appropriate USAID Mission are informed of the arrangements;
- The training participant is returned to his or her home-country workplace or professional setting, so as to maximize the outcomes of the training program.

2.1.10.2 Minimum Requirements for Documentation

The central training implementation contractor must keep relevant documentation on file pertaining to training participants and training activities, including:

- ❑ TICs and PSR-Ts
- ❑ nomination/participant selection documentation
- ❑ participants' bio-data information
- ❑ face page of participants' passports
- ❑ participant security risk and fraud inquiry documentation
- ❑ Basis for verification of English language proficiency
- ❑ medical clearance confirmations
- ❑ signed stakeholder/training agreements
- ❑ signed conditions of sponsorship for J1 visa holders forms
- ❑ TIPs
- ❑ pre-departure orientation checklists
- ❑ participant tracking documentation
- ❑ all other documentation/correspondence related to visa compliance, including a black and white copy of the participants stamped DS-2019

2.1.11 Evaluation

Evaluating the efficiency of each training event, and the effectiveness of the investment in promoting overall goals of the training program are prime components of the central training implementation contractor's role. These findings may be used to modify and improve ongoing or successive planning cycles.

2.2.11.1 Exit Questionnaire

At the end of every U.S.-based training program, the FORECAST II central training implementation contractor is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide USAID with feedback on the quality of the training activity and the likeliness of participants maximizing the outcomes of their programs. The exit questionnaires are critical for the central training implementation contractor's self-evaluation of their implementation and management of the activity. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or successive programming cycles, especially with regard to the design of follow-up activity requests

2.1.11.2 Post-Activity Interviews

Interviewing training participants 6-9 months after completion of U.S.-based training programs is a best practice. FORECAST II IQC central training implementation contractors may provide this service as part of their integrated package of services.

USAID/Washington will analyze and report on all training program evaluation data.

2.1.12 Reporting

The central training implementation contractor is responsible for reporting certain participant information to USAID and other U.S.G. agencies in accordance with USAID directives.

2.1.12.1 Participant and Activity Data

The central training implementation contractor must use USAID's Training Information Network (TraiNet) to report required information regarding training participants and activities to USAID, as instructed in agency directives and guidance. This data is used for answering Congressional inquiries and reporting on USAID activities.

2.1.12.2 Participant Taxes

All participants in U.S.-based training activities are subject to the IRS requirement of filing U.S. tax returns, whether or not tax payments are due. The central training implementation contractor and training participants must ensure all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations, including USAID directives.

2.2 POLICY AND PROCEDURES FOR THIRD COUNTRY TRAINING

All training funded by USAID through its worldwide missions must comply with Agency Directives ADS 253. This chapter closely follows these directives as well as supplemental ADS guidance. ADS 252 and 253 take precedence over the contents of this handbook and this handbook does not contradict the ADS.

This section outlines and specifies the required preparation and documentation necessary to conduct USAID-sponsored third country participant training (TCT). While the section lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. For FORECAST II Task Orders, any additional requirements must be reviewed by the FORECAST II IQC COTR to ensure that they comply with Agency directives and the central training implementation contractor(s)' task orders.

While this chapter has been written specifically for the FORECAST II Participant Training Program, the guidance contained within is strongly recommended for *all* USAID training, including technical assistance training.

2.2.1 Human and Institutional Capacity Building and Cross-Cutting Activities Plan

Missions are encouraged to develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan (described in Chapter 1) on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Crosscutting Activity Plan contains all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.2.1.1 Accessing the Participant Training Program

Missions access training services provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plans.

2.2.2 Performance Solution Request for Training Form (PSR-T)

Utilizing the services of the central training implementation contractors, USAID/Missions develop each PSR-T, see Appendix 1.14, in Chapter 1 for a sample), which identifies the goals and expected outcomes for a given training program and requests the central training implementation contractors to implement the intervention. As part of the integrated services package of FORECAST, the central training implementation contractors may develop and draft all PSR-Ts on behalf of the respective Mission, with USAID input and with USAID support, or, Missions may provide the central training implementation contractors with completed PSR-Ts for training activities.

The PSR-T guides the drafter through the necessary elements that make up a sound and well-developed participant training request. Necessary elements of the PSR-T include tying the event into a Mission SO framework by presenting the intended results and outcomes, the skills to be acquired, and any follow-on activity. Estimated costs for the event are also to be included. Other information fields include participant selection criteria, venue, English testing, and suggested training provider.

2.2.2(a) Multi-Mission Training Events

For multi-Mission training events, the Mission technical officers and the central training implementation contractor field offices will produce the PSR-T. Final design of the PSR-T must be coordinated equally by all Missions and contractors involved in the training event regardless of which country originated the training event concept or is piggybacking onto it. While all Missions will collaborate on the content of the PSR-T and the final design of the event, each Mission involved must create their own PSR-T indicating the number of participants who will attend the event from their country.

Under the FORECAST II IQC, the IQC COTR must be notified when multi-Mission training events are planned.

2.2.2(b) Follow-On Requests

While remaining an integral part of the overall HICD and Cross-Cutting Activities Plan, follow-on activities to a training event must be requested separately as another training activity, prepared on a separate PSR-T that includes the appropriate budget information.

2.2.2.1 Lead Time

Appropriate lead time must be considered when requesting a training event. When a PSR-T for TCT is ready to move forward, the minimum lead time for implementation of the event is twelve weeks. The minimum twelve-week lead time must be adhered to regardless of the type of training, be it a tailored program, conference, or seminar; the number of participants; or the type of procurement. The lead-time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training, allows for proper visa processing, if applicable, and allows the Mission and central training implementation contractor the opportunity to thoroughly develop the training implementation plan to ensure full preparation of the participants. Missions may opt to establish longer lead times and must state the minimum lead-time in their Mission Order for Participant Training.

2.2.2.2 Venue Considerations

The selection of appropriate venue is a function of several decisions, most importantly, how best to achieve the objectives at a reasonable cost. The Strategic Objective and HICD processes focus the attention on the objectives, the training content, and the participants. Equally important is the venue.

When selecting the training venue, the emphasis and consideration must be on the needed outcomes of the program. The main issue is which venue will ensure the highest quality of training. Quality for training provided under the FORECAST II IQC refers specifically to the outcome, the impact, and the “deliverable useful results.” At a project level, there are three parameters to balance: quality (outcomes of event as they relate to Mission objective), quantity (number of participants trained), and cost (both event costs and overall project costs).

In general, third country training offers the potential content benefits that include a focus on the theory of a regional country model due to political or economic similarities and a focus on the learned experience of transition. TCT offers the potential program management benefit of shared coordination between the central training implementation contractor’s home and field offices and the training provider/logistics provider. Management concerns include ensuring compliance with third country visa requirements when applicable.

2.2.2.3 Cost Guideline

The participant training cost guideline is provided as a management tool for determining cost reasonableness and must be observed. For TC training, the FORECAST II IQC central training implementation contractor(s) must obtain Mission approval if the per participant/per week costs exceeds the following ceilings (ceilings include all training fees, interpretation, daily lodging, M&IE and domestic travel): \$3,800 per participant/per week for events with 8 or fewer participants; \$3,200 per participant/per week for events with 9 or more participants. Implementing contractors not conducting training under the FORECAST II IQC may consider these ceilings as best practices based on experience.

2.2.2.4 Adherence to Geographic Code 935

Sponsoring units regularly need to conduct training in third countries. Therefore, sponsoring units are encouraged to consider obtaining a blanket waiver permitting third country training (distinct from procurement of services) pursuant to ADS 253.3.2.d, p. 14, <http://www.usaid.gov/policy/ads/200/253.pdf>). Note that this waiver relates only to third-country training and not to the procurement of services (which is governed by ADS 310 <http://www.usaid.gov/policy/ads/300/310.pdf>, Section 310 and 22 CFR 228 Section 228.53 http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/cfr_2002/apr/qtr/pdf/22cfr228.53.pdf).

2.2.2.5 Approval Process

All PSR-Ts must be approved by the Mission. Approval usually occurs when the Mission signs a hard copy of the PSR-T. As they become part of the HICD and Cross-Cutting Activities Plan, PSR-Ts are often reviewed and signed by several managers in the Mission which may include the SO Team leader, Program Officer, and Mission Director / designee. When all required approvals are received, the PSR-T is approved and the central training implementation contractor may begin to commit to or incur costs.

2.2.3 Participant Eligibility and Selection

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants, who have appropriate qualifications, perform well, complete the training on time, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. If the Mission is utilizing the HICD approach, candidates are identified and selected as an outcome of the HICD assessment process. Selection committees are most effective when they include Mission, host-country, and private sector officials who are all stakeholders in the training program. Agency-wide participant eligibility requirements can be found in both ADS 252 and 253, Sections 252.3.2, p. 8 <http://www.usaid.gov/policy/ads/200/252.pdf>, and 253.3.1.1, page 6 <http://www.usaid.gov/policy/ads/200/253.pdf>. The Foreign

Assistance Act of 1961 § 660(a) generally prohibits USAID from funding police training. There are exceptions to this prohibition contained in the 2005 FOAA and continued in the 2006 FOAA, as well as in other authorizing legislation that allows certain assistance to policing forces under certain circumstances and within certain parameters. All sponsoring units must consult with their regional legal advisor or cognizant Office of the General Counsel when developing programs in this area.

For further guidance on providing assistance to foreign policing authorities, please see “Assistance for Civilian Policing: USAID Policy Guidance, December 2005,” available at <http://www.usaid.gov/policy/ads/200/updates/iu2-0702a.pdf>

2.2.3(a) USAID Grantee or Cooperative Agreement Recipient Staff

USAID grantee or cooperative agreement recipient staff may be eligible to participate in participant training programs. These participants may continue to receive salaries during their training program participation as long as the grant or cooperative agreement authorizes it or if the Mission or Regional Contracting Officer otherwise authorizes it.

2.2.3(b) USAID Contractor Staff

USAID contractor staff are not eligible to participate in training activities as participants. They may, however, attend training programs as observers if they fund their own attendance and do NOT use the central training implementation contractor for any logistical assistance. However the presence of staff from partner projects is often desirable because this helps the respective partner to work with stakeholders after training to implement practices observed and discussed during training. Such observers must be included in pre-departure orientation discussions so that their roles are clearly defined to the entire group. This approach will ensure that observers understand how the program is organized and lessens the chance that the observers might disrupt the program by attempting to change the schedule and/or aspects of the program.

2.2.3(c) Contractor Staff Family Members

Family members of USAID Contractors and their sub-contractors, including the central training implementation contractor, may participate in training activities as participants. They are subject to the same policies and procedures as all other training program applicants.

2.2.3(d) Dependents

In consultation with the USAID Responsible Officer, FORECAST II Missions must establish their own policies governing the travel of dependents to accompany TC training participants. Sponsoring units should keep in mind that dependents accompanying participants in short-term training of 1-3 weeks may be counter-productive to learning and group dynamics. Dependents are subject to the same

policies and procedures as all other training program applicants as outlined in ADS 253 Section 253.3.1.1, p. 7 <http://www.usaid.gov/policy/ads/200/253.pdf>, and in the Mandatory Reference for ADS 253, “Detailed Guide for Training Results,” Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>.

2.2.3(e) USAID and STATE Program Alumni

Under FORECAST II, efforts are made to avoid the nomination of individuals who participated in USAID-funded training programs within the previous 12 months.

2.2.3.1 Participant Application

Based on Mission selection of training candidates, the central training implementation contractor issues invitations to candidates who may to apply for participation in participant training activities. Selected participants are then required to complete a training application form and submit it to the central training implementation contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event.

All training application forms must contain the following language near the applicant's signature line: *Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the activities that I may undertake under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties.*

2.2.3.1(a) Dependent Certification

Policy on dependent certification must be consistent with Mission policy on dependent travel described in 2.3.3(d) above. See also ADS 253, Section 253.3.1.1, p. 7, <http://www.usaid.gov/policy/ads/200/253.pdf> and the Mandatory Reference for ADS 253 “Detailed Guide for Training Results,” Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>. See [Appendix 2.1 Dependent Certification Form](#).

2.2.4 Certification of Participant Eligibility

Under the FORECAST II IQC, the central training implementation contractors provide an integrated services package that includes certification of participant eligibility, submission of participant information into TraiNet, HAC insurance enrollment, language proficiency determination, and pre-departure orientation.

2.2.4.2 Submission of Participant Information

To maintain consistency and to facilitate Missions meeting their obligations, it is a best practice for the central training implementation contractor to enter all training implementers' participant training data into TraiNet. Data entry services are part of the FORECAST II integrated services package under the fee for service mechanism.

Coordination of the collection of data must be outlined in the Mission Order for Participant Training. In cases where a mission has not funded training through a FORECAST II task order, training implementers may access these services through the FORECAST II central training implementation contractors' fee for service mechanisms. All FORECAST II central training implementation contractors are required to have the fee for service schedule. The central training implementation contractor enters all training participant data into TraiNet.

2.2.5 Visa Application Consulate Filing

The central training implementation contractors will provide services related to visa application consulate filing as part of the FORECAST II IQC integrated services package (see 2.3.4) as specified by each Mission in their Mission Order for Participant Training and local consulate directives. See ADS 252, Section 252.3.5.4 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 10.

2.2.5.1 Health and Accident Insurance Coverage

ADS 253.3.2(b) states that third-country training participants must have health insurance. The Health and Accident Insurance Coverage provider used for U.S.–based trainees can also provide insurance coverage for third-country training. Alternatively, Sponsoring Units or their Implementers may select any other provider that offers appropriate coverage levels, which USAID can determine in consultation with knowledgeable sources in the receiving country.

2.2.5.2 Language Proficiency Determination

Sponsoring units must set the appropriate language proficiency in the language in which the training will be conducted. In exceptional cases, USAID sponsoring units may grant a waiver or exemption of the language verification requirement. If the training program is to be conducted in English, the central training implementation contractors may be required to administer an English language proficiency test. Missions may establish other criteria for the determination of language proficiency in their Mission Orders for Participant Training. Language proficiency determination is included in the FORECAST II IQC integrated services package outline in Section 2.3.4.

2.2.6 Training Provider Selection

Training Provider services under the FORECAST II IQC will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the central training implementation contractor(s) and approved by the Office of Acquisitions and Assistance, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

2.2.6.1 Training Provider Database

On an on-going basis, the FORECAST II central training implementation contractors invite training providers to submit proposals that detail their institutional capabilities and experience.

All training providers meeting the requirements for potential inclusion will be entered and maintained in the central training implementation contractor's training provider database. The central training implementation contractor will use only the pool of training providers in their training provider database for the procurement of specific training events. The central training implementation contractors will perform on-going outreach to recruit new providers for inclusion in this database.

2.2.6.2 Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisition and Assistance directives, the FORECAST II IQC central training implementation contractors must determine the mode of procurement (competitive, non-competitive, and sole source). However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. Where it has been determined by USAID that training provider services for an event will not be competitively procured, a request for non-competitive or sole source procurement with appropriate justification must be provided in the PSR-T.

The FORECAST II IQC requires that the central training implementation contractor(s) obtain training proposals from all training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The central training implementation contractor(s) is responsible for ensuring the quality of all training and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process. Training conducted under other mechanisms may benefit from following these best practices in procurement.

2.2.6.2(a) Competitive Procurement

The FORECAST II central training implementation contractor(s) must competitively solicit for training services to carry out tailored TC training events. If possible, the central training implementation contractor(s) should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the FORECAST II IQC and approved by USAID's Office of Acquisition and Assistance. Document of the interaction should be retained in the central training implementation contractor's program files.

Competitive procurement for multiple training events is a difficult mechanism to use because the risk is considerable for both parties. If, for example, there is a need for

five identical programs, it would be safe to assume that the provider could grant significant cost concessions. Unfortunately, until the first program is offered, there may be no way to know whether the training is satisfactory. The provider will have based the bid on five programs and cancellation of the balance of the programs would cause the provider to suffer a loss even on the initial program. The ideal approach would be to obtain a bid for one program as well as for five programs with accompanying language that allows the provider to exercise an option for the other programs at a reduced cost.

For multi-mission events that are to be competitively procured, the central training implementation contractor will work on the text of the Request for Training Proposal and will identify potential training providers to receive it. The central training implementation contractor will also carry out all administrative responsibilities for running the competition.

2.2.6.2(b) Non-competitive Procurement

There will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively.

The criteria for non-competitive procurement are as follows:

- The training activity is advertised with a published cost per participant and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the field Mission is largely identical to a training activity competitively awarded in the past. Further, the evaluation of the program was better than average. The cost of the program should therefore decline because the development costs were captured in the original award.
- The training activity is based on participant involvement in technical assistance programs. Given an established relationship between participants and the provider of technical assistance, the training will further that relationship. To move to a different provider would weaken the training.
- The training provider will charge no tuition for the classroom components of the training activity; out-of-pocket costs will be charged with no fee or overhead. However it should be noted that free training does not necessarily mean quality training.

For all non-competitive procurements, the central training implementation contractor(s) will provide the Mission with documentation which supports non-competitive procurement in either of the following cases: 1) the Mission has mandated a training provider without competition and the circumstances meet the criteria for non-competitive procurement; or 2) the central training implementation contractor has identified, through research, a potential provider where the circumstances meet the criteria for non-competitive procurement. This documentation must be prepared prior

to engaging in negotiations for a non-competitive award. Such documentation must be included in the PSR-T and must be approved by the Mission.

2.2.6.2(c) Sole Source Procurement

In other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified for a non-competitive procurement, the Mission must request sole source procurement.

2.2.6.3 Procurement Documentation

The required documentation for the procurement of training providers is determined by the mode of procurement utilized, but will include the Selection and Recommendation Memo, and, if appropriate, the Sole Source Justification.

2.2.6.3(a) Recommendation and Selection Memo

Once potential providers submit bids for procurement, the material sections (training design and cost) of each proposal are carefully reviewed. The central training implementation contractor(s) recommends the most cost-effective, quality training program to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the training event. The recommendation memo may also serve to clear approval for any costs exceeding ceilings or the PSR-T budget. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

All proposals (not just the recommended one) are shared with the USAID project officer/SO Team. It is not necessary that the least expensive bid be chosen, but the best value program should be selected as long as the costs for that program are not substantially higher than the competition.

The USAID Mission ultimately selects the training provider. The Mission may not necessarily choose the central training implementation contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The central training implementation contractor will generally request explanation from the Mission should their recommended provider not be chosen.

2.2.6.3(c) Sole Source Justification

In those instances where the Mission has requested sole source procurement with a specific training provider, the central training implementation contractor will prepare, using justification provided by the Mission, appropriate documentation for the sole source procurement. Such documentation must be included in the PSR-T. If Mission approval has not been obtained through the PSR-T, a separate sole source memo is

required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

2.2.7 Training Implementation Plan

The [Training Implementation Plan \(TIP\)](#) is the central training implementation contractor's detailed training intervention design prepared in response to the PSR-T. The TIP covers each segment of the training intervention, including relationships of training components to strategic objectives, the training institution, and the location, specific training activities, and duration of each segment. The TIP describes how the training objectives will be achieved and provides a budget estimate. Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- language of training, interpreter details;
- observers or others traveling with the group;
- training subject;
- training dates;
- program objectives;
- itinerary including day-to-day description of course and training methodologies;
- all logistical arrangements, including travel and lodging arrangements with corresponding daily costs; and
- budget worksheet.

The TIP must be approved and signed by the Mission. Should any training costs, in the course of execution, exceed by 10% what is indicated on the TIP, the central training implementation contractor must secure Mission approval.

For multi-Mission events a TIP must be executed for each participating Mission.

2.2.7.1 Arrange for Travel

Where USAID and the host country have agreements that stipulate that host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure, including incidental costs, USAID sponsoring units may wish to obtain either a country-wide or a program-specific waiver to allow USAID funding these arrangements. The waiver must be kept on file. Possession of the waiver must be reflected in the Mission Order for Participant Training.

2.2.7.2 Arrange for Lodging

The costs of daily lodging shall not exceed the lodging rates established in the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates, which may be found at <http://www.state.gov/m/a/als/prdm/>. The TIP must clearly indicate each city and the corresponding daily lodging rate(s).

The central training implementation contractor(s) must ensure that participants in training programs taking place at TC sites are housed in double-occupancy rooms if feasible. The costs of daily lodging must not exceed the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates as established by the Department of State. Double-occupancy lodging cost per participant should be significantly below these prescribed rates, which are based on single occupancy.

To assist USAID with its efforts to contain costs, the central training implementation contractor(s) must make every effort to secure participant lodging at below per diem rates. If circumstances force the lodging costs to exceed the maximum rate allowed by State per diem rates justification and USAID approval must be documented by the central training implementation contractor(s).

If USAID determines that the double occupancy requirement be waived, documentation of the Mission waiver may be provided via the approved PSR-T, TIP, or other conveying document.

2.2.7.3 Participant Maintenance Allowances

Participants attending third-country training should be given a cash advance. The amount is to be determined by the sending Mission and central training implementation contractor in consultation with the receiving office. Third country training allowance should be established by the sending mission in collaboration with the mission and the training provider in the country of training. A maximum rate for per diem should also be determined by the sending office. However, under no circumstances should per diem exceed the rates based on U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas. It is best practice to provide allowances for third-country training in U.S. dollars. U.S. currency is easily exchanged in most countries.

2.2.7.4 Arrange for Interpreters

The use of interpreters must be indicated in the PSR-T. Interpreters may be arranged to ensure the effectiveness of the training intervention.

2.2.8 Pre-Departure Orientation and Preparation

Pre-departure orientation and preparation is an integral component of participant processing. Appropriate pre-departure orientation and preparation is required for all USAID-sponsored participants in TCT programs.

2.2.8.1 Orientation

Sponsoring units (or implementers, as designated) must meet with TC-bound participants prior to departure to provide orientation on the travel schedule, the goals of the activity, conditions of sponsorship, administrative details, and third country culture and practices. Pre-departure orientation can be provided by the FORECAST II

central training implementation contractor(s) as part of the integrated package of services (see Section 2.3.4).

2.2.8.2 Objective Memo

Before departure, each participant must sign an [Objectives Memo](#) that is prepared and provided by the central training implementation contractor. The memo outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement.

2.2.8.3 Participant Action Plans

Action Plans are required for FORECAST II IQC training participants, and are recommended as a best practice for use by other training implementers. Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider and other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan must be drawn up before participants' departure, but it will evolve during the course of training.

In some instances, an action plan is not appropriate. If the TC training event is five days or less or is a conference with many participants with whom the central training implementation contractor does not have personal contact, then an action plan is neither necessary nor required.

2.2.9 Monitoring Third Country-Based Participants

The central training implementation contractor must monitor each training participant's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

2.2.9.1 Minimum Requirements for Active Monitoring

At a minimum, monitoring must include assurances that:

- The training participant visitor has arrived and settled into appropriate living quarters;
- The training meets both the technical and cost requirements of the approved Training Implementation Plan (TIP);
- The training participant is regularly attending scheduled activities and/or sessions of a technical training activity;
- Adequate levels of achievement are being met;

- No serious personal or health problems develop which impair the successful completion of the activity;
- Departure arrangements are made upon completion or termination of the activity, and the COTR and appropriate USAID Mission are informed of the arrangements;
- The training participant is returned to his or her home-country workplace or professional setting, so as to maximize the outcomes of the training program.

2.2.9.2 Minimum Requirements for Documentation

The central training implementation contractor must keep relevant documentation on file pertaining to training participants and training activities, including:

- TICs and PSR-Ts
- nomination/participant selection documentation
- participants' bio-data information
- face page of participants' passports
- medical clearance confirmations
- signed stakeholder/training agreements
- TIPs
- pre-departure orientation checklists
- participant tracking documentation

2.2.10 Evaluation

Evaluating the efficiency of each training event, and the effectiveness of the investment in promoting overall goals of the training program are prime components of the central training implementation contractor's role. These findings may be used to modify and improve ongoing or successive planning cycles.

2.2.10.1 Exit Questionnaire

At the end of every TC-based training program, the FORECAST II central training implementation contractor is required to administer an exit questionnaire to each

trainee. The exit questionnaire is designed to provide USAID with feedback on the quality of the training activity and the likeliness of participants maximizing the outcomes of their programs. The exit questionnaires are critical for the central training implementation contractor's self-evaluation of their implementation and management of the activity. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or successive programming cycles, especially with regard to the design of follow-up activity requests

2.2.10.2 Post-Activity Interviews

Interviewing training participants 6-9 months after completion of third-country training programs is a best practice.. FORECAST II IQC central training implementation contractors may provide these services as part of their integrated package of services.

USAID/Washington will analyze and report on all training program evaluation data.

2.2.11 Reporting

The central training implementation contractor is responsible for reporting certain participant information to USAID and other U.S.G. agencies in accordance with USAID directives.

2.2.11.1 Participant and Activity Data

The central training implementation contractor must use USAID's Training Information Network (TraiNet) to report required information regarding training participants and activities to USAID, as instructed in agency directives and guidance. This data is used for answering Congressional inquiries and reporting on USAID activities.

2.3 POLICY AND PROCEDURES FOR IN-COUNTRY TRAINING

All training funded by USAID through its worldwide missions is managed by Agency Directive ADS 252 and 253. This chapter closely follows these directives as well as supplemental ADS guidance. ADS 252 and 253 take precedence over the contents of this handbook. This handbook does not contradict the ADS.

This section outlines and specifies the required preparation and documentation necessary to conduct USAID-sponsored in-country participant training (ICT). While the section lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. For FORECAST II Task Orders, any additional requirements must be reviewed by the FORECAST II IQC COTR to ensure that they comply with Agency directives and the central training implementation contractor(s)' task orders.

While this chapter has been written specifically for the FORECAST II Participant Training Program, the guidance contained within is strongly recommended for all USAID training, including technical assistance training.

2.3.1 Human and Institutional Capacity Building and Cross-Cutting Activities Plan

Missions must develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan (described in Chapter 1 [\[insert hyperlink\]](#)) on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Crosscutting Activity Plan contains all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.3.1.1 Accessing the Participant Training Program

Missions access training services provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plans.

2.3.2 Performance Solution Request for Training Form (PSR-T)

Utilizing the services of the central training implementation contractors, USAID/Missions develop each PSR-T (formerly known as the TIRF, see Appendix 1.14 in Chapter 1 for a sample), which identifies the goals and expected outcomes for a given training program and requests the central training implementation contractors to implement the intervention. As part of the integrated services package of FORECAST II, the central training implementation contractor may develop and draft all PSR-Ts on behalf of the respective Mission, with USAID input and with USAID support, or, Missions may provide the central training implementation contractors with completed PSR-Ts for training activities.

The PSR-T guides the drafter through the necessary elements that make up a sound and well-developed participant training request. Necessary elements of the PSR-T include tying the event into a Mission SO framework by presenting the intended results and outcomes, the skills to be acquired, and any follow-on activity. Estimated costs for the event are also to be included. Other information fields include participant selection criteria, venue, English testing, and suggested training provider.

2.3.2(a) Follow-On Requests

While remaining an integral part of the overall HICD and Cross-Cutting Activities Plan, follow-on activities to a training event must be requested separately as another training activity, prepared on a separate PSR-T that includes the appropriate budget information.

2.3.2.1 Lead Time

Appropriate lead time must be considered when requesting a training event. When a PSR-T for ICT is ready to move forward, the minimum lead time for implementation of the event is twelve weeks. The minimum twelve-week lead time must be adhered to regardless of the type of training, be it a tailored program, conference, or seminar; the number of participants; or the type of procurement. The lead time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows for procurement of international training providers, proper visa processing and logistical arrangements for international providers, and allows the Mission and central training implementation contractor the opportunity to thoroughly review the training implementation plan to ensure full preparation of the participants.

2.3.2.2 Venue Considerations

The selection of appropriate venue is a function of several decisions, most importantly, how best to achieve the objectives at a reasonable cost. The Strategic Objective and HICD processes focus the attention on the objectives, the training content, and the participants. Equally important is the venue.

When selecting the training venue, the emphasis and consideration must be on the needed outcomes of the program. The main issue is which venue will ensure the highest quality of training. Quality for training provided under the FORECAST II IQC refers specifically to the outcome, the impact, and the “deliverable useful results.” At a project level, there are three parameters to balance: quality (outcomes of event as they relate to Mission objective), quantity (number of participants trained), and cost (both event costs and overall project costs).

In general, in- country training offers the potential content benefits that include deeper consideration of a topic, especially if delivered in a series, focused or custom-designed training topics and practical application at worksites. Content concerns may include limited immersion and variety of ideas, and difficulty in separating training from technical assistance activities. ICT offers the potential program management benefit of easily accommodating participants’ schedules and fewer administrative requirements for implementation. Management concerns include the potential for urgent events to take precedence over all other work of training coordination teams as well as training coordination not being shared. In addition, there may be limited availability of qualified training and/or logistics providers.

2.3.2.3 Approval Process

All PSR-Ts must be approved by the Mission. Approval usually occurs when the Mission signs a hard copy of the PSR-T. As they become part of the HICD and Cross-Cutting Activities Plan, PSR-Ts are often reviewed and signed by several managers in the Mission which may include the SO Team leader, Program Officer, and Mission Director. When all required approvals are received, the PSR-T is approved and the central training implementation contractor may begin to commit to or incur costs.

2.3.3 Participant Eligibility and Selection

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who have appropriate qualifications, perform well, complete the training on time, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. If the Mission is utilizing the HICD approach, candidates are identified and selected as an outcome of the HICD assessment process. The final selection is made by the Mission. Some Missions make use of selection committees when candidates are not part of an on-going project effort or focus. Selection committees are most effective when they include Mission, host-country, and private sector officials who are all stakeholders in the training program. Agency-wide participant eligibility requirements can be found in ADS 253, Section 253.3.1.1, p. 6 <http://www.usaid.gov/policy/ads/200/253.pdf>. The Foreign Assistance Act of 1961 § 660(a) generally prohibits USAID from funding police training. There are exceptions to this prohibition contained in the 2005 FOAA and continued in the 2006 FOAA, as well as in other authorizing legislation that allows certain assistance to policing forces under certain circumstances and within certain parameters. All sponsoring units must consult with their regional legal advisor or cognizant Office of the General Counsel when developing programs in this area.

For further guidance on providing assistance to foreign policing authorities, please see “Assistance for Civilian Policing: USAID Policy Guidance, December 2005,” available at <http://www.usaid.gov/policy/ads/200/updates/iu2-0702a.pdf>

2.3.3(a) USAID Grantee or Cooperative Agreement Recipient Staff

USAID grantee or cooperative agreement recipient staff may be eligible to participate in participant training programs. These participants may continue to receive salaries during their training program participation as long as the grant or cooperative agreement authorizes it or if the Mission or Regional Contracting Officer otherwise authorizes it.

2.3.3(b) USAID Contractor Staff

USAID contractor staff are not eligible to participate in training activities as participants. They may, however, attend training programs as observers if they fund their own attendance and do NOT use the central training implementation contractor for any logistical assistance. However the presence of staff from partner projects is often desirable because this helps the respective partner to work with stakeholders after training to implement practices observed and discussed during training. Such observers must be included in pre-departure orientation discussions so that their roles are clearly defined to the entire group. This approach will ensure that observers understand how the program is organized and lessens the chance that the observers

might disrupt the program by attempting to change the schedule and/or aspects of the program.

2.3.3(c) Contractor Staff Family Members

Family members of USAID Contractors and their sub-contractors, including the central training implementation contractor, may participate in training activities as participants. They are subject to the same policies and procedures as all other training program applicants.

2.3.3(d) USAID and STATE Program Alumni

Under FORECAST II, the Mission participant training officer need not justify nominating individuals who previously participated in USAID-funded training programs as many IC programs are done in a series involving repeat participants and involve more coaching, consultation and workshops to reinforce learning.

2.3.3.1 Participant Application

Based on Mission selection of training candidates, the central training implementation contractor issues invitations to candidates who may apply for participation in participant training activities. Selected participants are then required to complete a training application form and submit it to the central training implementation contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event.

All training application forms must contain the following language near the applicant's signature line: *Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the activities that I may undertake under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties.*

2.3.4 Submission of Participant Information

To maintain consistency and to facilitate Missions meeting their obligations, it is a best practice for the central training implementation contractor to enter all training implementers' participant training data into TraiNet. Data entry services are part of the FORECAST II integrated services package under the fee for service mechanism. Coordination of the collection of data must be outlined in the Mission Order for Participant Training. In cases where a mission has not funded training through a FORECAST II task order, training implementers may access these services through the FORECAST II central training implementation contractors' fee for service mechanisms. All FORECAST II central training implementation contractors are required to have the fee for service schedule. The central training implementation contractor enters all training participant data into TraiNet. TraiNet data entry is not required for in-country training program or sub-programs of less than three consecutive class days in duration, or 15 contact hours intermittently.

2.3.5 Training Provider Selection

Training Provider services under the FORECAST II IQC will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the central training implementation contractor(s) and approved by the Office of Acquisitions and Assistance, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

2.3.5.1 Training Provider Database

On an on-going basis, the FORECAST II central training implementation contractors invite training providers to submit proposals that detail their institutional capabilities and experience.

All training providers meeting the requirements for potential inclusion will be entered and maintained in the central training implementation contractor's training provider database. The central training implementation contractor will use only the pool of training providers in their training provider database for the procurement of specific training events. The central training implementation contractors will perform on-going outreach to recruit new providers for inclusion in this database.

2.3.5.2 Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisition and Assistance directives, the FORECAST II IQC central training implementation contractors must determine the mode of procurement (competitive, non-competitive, and sole source). However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. Where it has been determined by USAID that training provider services for an event will not be competitively procured, a request for non-competitive or sole source procurement with appropriate justification must be provided in the PSR-T.

The FORECAST II IQC requires that the central training implementation contractor(s) obtain training proposals from all training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The central training implementation contractor(s) is responsible for ensuring the quality of all training and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process. Training conducted under other mechanisms may benefit from following these best practices in procurement.

2.3.5.2(a) Competitive Procurement

The FORECAST II central training implementation contractor(s) must competitively solicit for training services to carry out tailored IC training events. If possible, the

central training implementation contractor(s) should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the FORECAST II IQC and approved by USAID's Office of Acquisition and Assistance. Document of the interaction should be retained in the central training implementation contractor's program files.

Competitive procurement for multiple training events is a difficult mechanism to use because the risk is considerable for both parties. If, for example, there is a need for five identical programs, it would be safe to assume that the provider could grant significant cost concessions. Unfortunately, until the first program is offered, there may be no way to know whether the training is satisfactory. The provider will have based the bid on five programs and cancellation of the balance of the programs would cause the provider to suffer a loss even on the initial program. The ideal approach would be to obtain a bid for one program as well as for five programs with accompanying language that allows the provider to exercise an option for the other programs at a reduced cost.

For multi-mission events that are to be competitively procured, the central training implementation contractor will work on the text of the Request for Training Proposal and will identify potential training providers to receive it. The central training implementation contractor will also carry out all administrative responsibilities for running the competition.

2.3.5.2(b) Non-competitive Procurement

There will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively.

The criteria for non-competitive procurement are as follows:

- The training activity is advertised with a published cost per participant and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the field Mission is largely identical to a training activity competitively awarded in the past. Further, the evaluation of the program was better than average. The cost of the program should therefore decline because the development costs were captured in the original award.
- The training activity is based on participant involvement in technical assistance programs. Given an established relationship between participants and the provider of technical assistance, the training will further that relationship. To move to a different provider would weaken the training.
- The training provider will charge no tuition for the classroom components of the training activity; out-of-pocket costs will be charged with no fee or

overhead. However it should be noted that free training does not necessarily mean quality training.

For all non-competitive procurements, the central training implementation contractor(s) will provide the Mission with documentation which supports non-competitive procurement in either of the following cases: 1) the Mission has mandated a training provider without competition and the circumstances meet the criteria for non-competitive procurement; or 2) the central training implementation contractor has identified, through research, a potential provider where the circumstances meet the criteria for non-competitive procurement. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation must be included in the PSR-T and must be approved by the Mission.

2.3.5.2(c) Sole Source Procurement

In other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified for a non-competitive procurement, the Mission must request sole source procurement.

2.3.5.3 Procurement Documentation

The required documentation for the procurement of training providers is determined by the mode of procurement utilized, but will include the Selection and Recommendation Memo, and, if appropriate, the Sole Source Justification.

2.3.5.3(a) Recommendation and Selection Memo

Once potential providers submit bids for procurement, the material sections (training design and cost) of each proposal are carefully reviewed. The central training implementation contractor(s) recommends the most cost-effective, quality training program to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the training event. The recommendation memo may also serve to clear approval for any costs exceeding ceilings or the PSR-T budget. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

All proposals (not just the recommended one) are shared with the USAID project officer/SO Team. It is not necessary that the least expensive bid be chosen, but the best value program should be selected as long as the costs for that program are not substantially higher than the competition.

The USAID Mission ultimately selects the training provider. The Mission may not necessarily choose the central training implementation contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The central training implementation contractor will

generally request explanation from the Mission should their recommended provider not be chosen.

2.3.5.3(b) Sole Source Justification

In those instances where the Mission has requested sole source procurement with a specific training provider, the central training implementation contractor will prepare, using justification provided by the Mission, appropriate documentation for the sole source procurement. Such documentation must be included in the PSR-T. If Mission approval has not been obtained through the PSR-T, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

2.3.6 Training Implementation Plan

The [Training Implementation Plan \(TIP\)](#) is the central training implementation contractor's detailed training intervention design prepared in response to the PSR-T. The TIP covers each segment of the training intervention, including relationships of training components to strategic objectives, the training institution, and the location, specific training activities, and duration of each segment. The TIP describes how the training objectives will be achieved and provides a budget estimate. Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- language of training, interpreter details;
- observers or other attending the training;
- training subject;
- training dates;
- program objectives;
- itinerary including day-to-day description of course and training methodologies;
- all logistical arrangements, including travel and lodging arrangements with corresponding daily costs; and
- budget worksheet.

The TIP must be approved and signed by the Mission. Should any training costs, in the course of execution, exceed by 10% what is indicated on the TIP, the central training implementation contractor must secure Mission approval.

2.3.6.1 Arrange for Travel

If transportation to the event must be arranged, the central training implementation contractor(s) should work with the Mission to establish the best means. Some Missions reimburse participants up to a level not exceeding the cost of public transportation. Trains and buses are reliable means for participants who must travel to

another city for in-country training. Each field office should have an established, recommended maximum rate for transportation from regions to the capital cities.

2.3.6.2 Arrange for Lodging

If participants are traveling to another city for an in-country event, they may require lodging in a hotel. The field offices, based on their knowledge of the region, should determine a recommended maximum USAID rate for lodging in the cities where most of their in-country training takes place. However the costs of daily lodging shall not exceed the lodging rates established in the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates, which may be found at <http://www.state.gov/m/a/als/prdm/>. The TIP must clearly indicate each city and the corresponding daily lodging rate(s).

The central training implementation contractor(s) must ensure that participants in training programs taking place at IC sites are housed in double-occupancy rooms if feasible. The costs of daily lodging must not exceed the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates as established by the Department of State. Double-occupancy lodging cost per participant should be significantly below these prescribed rates, which are based on single occupancy.

To assist USAID with its efforts to contain costs, the central training implementation contractor(s) must make every effort to secure participant lodging at below per diem rates. If circumstances force the lodging costs to exceed the maximum rate allowed by State per diem rates justification and USAID approval must be documented by the central training implementation contractor(s).

If USAID determines that the double occupancy requirement be waived, documentation of the Mission waiver may be provided via the approved PSR-T, TIP, or other conveying document.

2.3.6.3 Participant Maintenance Allowances

Meals and incidental expenses should be provided to trainees for the duration of the in-country training program when they are outside of their home city. The amount is to be determined by the sending Mission and central training implementation contractor. ADS 253 sets forth no guidelines for ICT maintenance allowances. However, under no circumstances should per diem exceed the rates based on U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas.

2.3.6.4 Arrange for Interpreters

The use of interpreters, if necessary, must be indicated in the PSR-T. Interpreters may be arranged to ensure the effectiveness of the training intervention.

2.3.7 Pre-Training Orientation and Preparation

Pre-training preparation is an integral component of participant processing. Appropriate preparation is required for all USAID-sponsored participants in in-country training programs. Pre-training orientation and preparation is not required for in-country training program or sub-programs of less than three consecutive class days in duration, or 15 contact hours intermittently.

2.3.7.1 Objective Memo

Before the start of the training program, each participant must sign an [Objectives Memo](#) that is prepared and provided by the central training implementation contractor. The memo outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement. An action plan is not required for in-country training program or sub-programs of less than three consecutive class days in duration, or 15 contact hours intermittently.

2.3.7.2 Participant Action Plans

Action Plans are required for FORECAST II IQC training participants, and are recommended as a best practice for use by other training implementers. Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider as well as with that of other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan must be drawn up before training, but it will evolve during the course of training.

An action plan is not required for in-country training program or sub-programs of less than three consecutive class days in duration, or 15 contact hours intermittently.

2.3.8 Monitoring In-Country Participants

The central training implementation contractor must monitor each training participant's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

2.3.8.1 Minimum Requirements for Active Monitoring

At a minimum, monitoring must include assurances that:

- ❑ The training participant visitor has arrived and settled into appropriate living quarters (if appropriate);
- ❑ The training meets both the technical and cost requirements of the approved Training Implementation Plan (TIP);

- ❑ The training participant is regularly attending scheduled activities and/or sessions of a technical training activity;
- ❑ Adequate levels of achievement are being met;
- ❑ No serious personal or health problems develop which impair the successful completion of the activity;

2.3.8.2 Minimum Requirements for Documentation

The central training implementation contractor must keep relevant documentation on file pertaining to training participants and training activities, including:

- ❑ TICs and PSR-Ts
- ❑ nomination/participant selection documentation
- ❑ participants' bio-data information
- ❑ signed stakeholder/training agreements
- ❑ TIPs
- ❑ participant tracking documentation

2.3.9 Evaluation

Evaluating the efficiency of each training event, and the effectiveness of the investment in promoting overall goals of the training program are prime components of the central training implementation contractor's role. These findings may be used to modify and improve ongoing or successive planning cycles.

2.3.9.1 Exit Questionnaire

At the end of every IC-based training program, the FORECAST II central training implementation contractor is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide USAID with feedback on the quality of the training activity and the likeliness of participants maximizing the outcomes of their programs. The exit questionnaires are critical for the central training implementation contractor's self-evaluation of their implementation and management of the activity. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or successive programming cycles, especially with regard to the design of follow-up activity requests

2.3.9.2 Post-Activity Interviews

Interviewing training participants 6-9 months after completion of third-country training programs is a best practice. FORECAST II IQC central training implementation contractors may be asked to provide this service as part of their integrated package of services.

USAID/Washington will analyze and report on all training program evaluation data.

2.3.10 Reporting

The central training implementation contractor is responsible for reporting certain participant information to USAID and other U.S.G. agencies in accordance with USAID directives.

2.3.10.1 Participant and Activity Data

The central training implementation contractor must use USAID's Training Information Network (TraiNet) to report required information regarding training participants and activities to USAID, as instructed in agency directives and guidance. This data is used for answering Congressional inquiries and reporting on USAID activities. TraiNet data entry is not required for in-country training program or sub-programs of less than three consecutive class days in duration, or 15 contact hours intermittently.

2.4 POLICY AND PROCEDURES FOR ACADEMIC TRAINING

All training funded by USAID through its worldwide missions must comply with Agency Directives ADS 252 and 253. This chapter closely follows these directives as well as supplemental ADS guidance. ADS 252 and 253 take precedence over the contents of this handbook. This handbook does not contradict the ADS.

This section outlines and specifies the required preparation and documentation necessary to conduct USAID-sponsored academic training. Academic training may take place in the U.S., a third country or in-country. Much of the guidance contained in this section concerns requirements for implementing U.S. academic training. While this section lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. For FORECAST II Task Orders, any additional requirements must be reviewed by the FORECAST II IQC COTR to ensure that they comply with Agency directives and the central training implementation contractor(s)' task orders.

While this chapter has been written specifically for the FORECAST II Participant Training Program, the guidance contained within is strongly recommended for all USAID training, including technical assistance training.

2.4.1 Human and Institutional Capacity Development and Cross-Cutting Activities Plan

Missions must develop a Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plan (described in Chapter 1 Appendix 1.9) on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Cross-Cutting Activities Plan contains all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.4.1.1 Accessing the Participant Training Program

Missions access training services provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plans.

2.4.2 Performance Solution Request for Training Form (PSR-T)

Utilizing the services of the central training implementation contractors, USAID/Missions develop each PSR-T (formerly know as the TIRF, see Appendix 1.14, in Chapter 1 for a sample), which identifies the goals and expected outcomes for a given training program and requests the central training implementation contractors to implement the intervention. As part of the integrated services package of FORECAST, the central training implementation contractors may develop and draft all PSR-Ts on behalf of the respective Mission, with USAID input and with USAID support, or, Missions may provide the central training implementation contractors with completed PSR-Ts for training activities.

The PSR-T guides the drafter through the necessary elements that make up a sound and well-developed participant training request. Necessary elements of the PSR-T include tying the event into a Mission SO framework by presenting the intended results and outcomes, the skills to be acquired, and any follow-on activity. Estimated costs for the event are also to be included. Other information fields include participant selection criteria, venue, English testing, and suggested training provider.

2.4.2.1 Lead Time

Appropriate lead-time must be considered when requesting a training event. When a PSR-T for academic training is ready to move forward, the minimum lead-time for implementation of the event is twelve weeks. The minimum twelve-week lead-time must be adhered to regardless of the type of training, be it a tailored program, conference, or seminar; the number of participants; or the type of procurement. The lead-time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training, allows for proper visa processing, and allows the Mission and central training implementation contractor the opportunity to thoroughly review the training implementation plan to ensure full preparation of the

participants. Missions may opt to establish longer lead times and must state the minimum lead-time in their Mission Order for Participant Training.

2.4.2.2 Venue Considerations

The selection of appropriate venue is a function of several decisions, most importantly, how best to achieve the objectives at a reasonable cost. The Strategic Objective and HICD processes focus the attention on the objectives, the training content, and the participants. Equally important is the venue.

When selecting the training venue, the emphasis and consideration must be on the needed outcomes of the program. The main issue is which venue will ensure the highest quality of training. Quality, for training provided under the FORECAST II IQC, refers specifically to the outcome, the impact, and the “deliverable useful results.” At a project level, there are three parameters to balance: quality (outcomes of event as they relate to Mission objective), quantity (number of participants trained), and cost (both event costs and overall project costs).

In general, US training provides the content benefits of immersion and experiential learning, a focus on theory or a US model, US linkages, and team formation. Conversely, a potential concern of US-based training is greater difficulty in relating the training experience to the home country context. The management benefits of US training are that procedures are well established and budgeted, and training coordination is shared between the central training implementation contractor’s home and field offices.

In general, third country training offers the potential content benefits that include a focus on the theory of a regional country model due to political or economic similarities and a focus on the learned experience of transition. TCT offers the potential program management benefit of shared coordination between the central training implementation contractor’s home and field offices and the training provider/logistics provider. Management concerns include ensuring compliance with third country visa requirements and potential limited availability of qualified training providers and/or logistics providers.

In general, in- country training offers the potential content benefits that include deeper consideration of a topic, especially if delivered in a series, focused or custom-designed training topics and practical application at worksites. Content concerns may include limited immersion and variety of ideas, and difficulty in separating training from technical assistance activities. ICT offers the potential program management benefit of easily accommodating participants’ schedules and fewer administrative requirements for implementation. Management concerns include the potential for urgent events to take precedence over all other work of training coordination teams as well as training coordination not being shared. In addition, there may be limited availability of qualified training and/or logistics providers.

2.4.2.3 Cost Guideline

Sponsoring units must observe the general caps on total tuition and administrative fees at long-term training sites detailed in ADS 253.3.6.1.

2.4.2.4 Approval Process

All PSR-Ts must be approved by the Mission. Each Mission decides its own approval process and documents it in its Mission Order for Participant Training. Approval usually occurs when the Mission signs a hard copy of the PSR-T. As they become part of the HICD and Crosscutting Activities Plan, PSR-Ts are often reviewed and signed by several managers in the Mission that may include the SO Team leader, Program Officer, and Mission Director. When all required approvals are received, the central training implementation contractor may begin to commit to or incur costs.

2.4.3 Participant Eligibility and Selection

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who have appropriate qualifications, perform well, complete the training on time, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. If the Mission is utilizing the HICD approach, candidates are identified and selected as an outcome of the HICD assessment process. Selection committees are most effective when they include Mission, host-country, and private sector officials who are all stakeholders in the training program. Agency-wide participant eligibility requirements can be found in both ADS 252 and 253, Sections 252.3.2, p. 5 <http://www.usaid.gov/policy/ads/200/252.pdf>, and 253.3.1.1, p. 6 <http://www.usaid.gov/policy/ads/200/253.pdf>. The Foreign Assistance Act of 1961 § 660(a) generally prohibits USAID from funding police training. There are exceptions to this prohibition contained in the 2005 FOAA and continued in 2006 FOAA, as well as in other authorizing legislation that allows certain assistance to policing forces under certain circumstances and within certain parameters. All sponsoring units must consult with their regional legal advisor or cognizant Office of the General Counsel when developing programs in this area.

For further guidance on providing assistance to foreign policing authorities, please see “Assistance for Civilian Policing: USAID Policy Guidance, December 2005,” available at <http://www.usaid.gov/policy/ads/200/updates/iu2-0702a.pdf>

2.4.3(a) USAID Grantee or Cooperative Agreement Recipient Staff

USAID grantee or cooperative agreement recipient staff may be eligible to participate in participant training programs. These participants may continue to receive salaries during their training program participation as long as the grant or cooperative agreement authorizes it or if the Mission or Regional Contracting Officer otherwise authorizes it.

2.4.3(b) Dependents

In consultation with the USAID Responsible Officer, FORECAST II Missions must establish their own policies governing the travel of dependents to accompany US training participants and their J-2 visa eligibility. Dependents are subject to the same policies and procedures as all other training program applicants as outlined in ADS 252 and 253 Sections 252.3.2, p. 5 <http://www.usaid.gov/policy/ads/200/252.pdf>, and 253.3.1.1, p. 7 <http://www.usaid.gov/policy/ads/200/253.pdf>, and in the Mandatory Reference for ADS 253, “Detailed Guide for Training Results,” Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>.

2.4.3(c) USAID and STATE Program Alumni

Under FORECAST, the Mission FORECAST II participant training officer must justify nominating individuals who previously participated in USAID-funded training programs. Repeat participants must obtain a new DS 2019 Certification of Participant Eligibility (described in 2.2.4). This policy is extended to Department of State-sponsored participants as well. The Participant Training Application form (see 2.5.3.1 below) will indicate any previous USG-funded training.

2.4.3.1 Participant Application

Based on Mission selection of training candidates, the central training implementation contractor issues invitations to candidates who may apply for participation in participant training activities. Selected participants are then required to complete a training application form and submit it to the central training implementation contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event.

All training application forms must contain the following language near the applicant's signature line: *Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the activities that I may undertake under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties.*

2.4.3.1(a) Dependent Certification

Policy on dependent certification must be consistent with Mission policy on dependent travel described in 2.5.3(b) above. See also ADS 253, Section 253.3.1.1, p. 7, <http://www.usaid.gov/policy/ads/200/253.pdf> and the Mandatory Reference for ADS 253 “Detailed Guide for Training Results,” Section I, p. 5, <http://www.usaid.gov/policy/ads/200/253maa.pdf>. See [Appendix 2.1 Dependent Certification Form](#).

2.4.4 Certification of Participant Eligibility

Under the FORECAST II IQC, the central training implementation contractors provide an integrated services package that includes certification of participant eligibility, security risk and fraud inquiry, submission of participant information into TraiNet, visa application consulate filing, HAC insurance enrollment, language proficiency determination, and pre-departure orientation.

In accordance with Departments of State and Homeland Security regulations and USAID policy, training participants must enter the U.S. on a J-1 visa (non-immigrant exchange visitor visa) processed under USAID authority. A Certificate of Eligibility Form DS-2019, and other supporting documents, must be submitted to the U.S. consulate in order to apply for a J-1 visa.

Agency policies, as well as supporting procedures and systems, for obtaining a DS-2019 form reflect requirements of the Student and Exchange Visitor Information System (SEVIS). As part of the integrated services package of FORECAST, the central training implementation contractor will provide a full-range of services related to USAID visa compliance for training participants. In short, in order to obtain a DS-2019 form, information about the perspective participant must be submitted to SEVIS using the USAID Training Information Network (TraiNet), verified, and approved using the USAID Visa Compliance System (VCS). The DS-2019 form is generated by SEVIS, signed by the EGAT/ED Responsible Officer or an Alternate Responsible Officer, and expeditiously sent to Missions for consulate filing. See ADS 252, Section 252.3.5 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 7.

2.4.4.1 Security Risk and Fraud Inquiry

In accordance with USAID policy, a Security Risk and Fraud Inquiry must be conducted for each USAID-sponsored training participant. As part of the integrated services package of FORECAST, the central training implementation contractors will provide services and maintain documentation related to this inquiry as specified by each Mission in their Mission Order for Participant Training and in accordance with ADS 252 and other agency directives. See ADS 252, Section 252.3.2, p. 8, <http://www.usaid.gov/policy/ads/200/252.pdf>.

2.4.4.2 Submission of Participant Information

To maintain consistency and to facilitate Missions meeting their obligations, it is a best practice for the central training implementation contractor to enter all training implementers' participant training data into TraiNet. Data entry services are part of the FORECAST II integrated services package under the fee for service mechanism. Coordination of the collection of data must be outlined in the Mission Order for Participant Training. In cases where a mission has not funded training through a FORECAST II task order, training implementers may access these services through the FORECAST II central training implementation contractors' fee for service mechanisms. All FORECAST II central training implementation contractors are required to have the fee for service schedule. The central training implementation contractor enters all training participant data into TraiNet. TraiNet is the single source

of all data necessary for obtaining a DS-2019 form for participant training in U.S.-based activities. All required information about the prospective participant must be entered into TraiNet at least two weeks in advance of the planned date for filing the DS-2019 form with the consulate. See ADS 252, Section 252.3.5.1 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 8.

2.4.4.3 Verification of Participant Information

Once entered into TraiNet, all data necessary for obtaining a DS-2019 form must be verified by the TraiNet operator's supervisor, using the USAID Visa Compliance System (VCS). See ADS 252, Section 252.3.5.2 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 9.

2.4.4.4 Approval of Participant Selection

For each U.S bound training participant and each U.S.-based activity, Missions must approve all participants and all data necessary for obtaining a DS-2019 form, using the USAID Visa Compliance System (VCS). See ADS 252, Section 252.3.5.3 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 9.

2.4.5 Visa Application Consulate Filing

The central training implementation contractors will provide services related to visa application consulate filing as part of the FORECAST II IQC integrated services package (see 2.5.4) as specified by each Mission in their Mission Order for Participant Training and local consulate directives. See ADS 252, Section 252.3.5.4 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 10.

2.4.5(a) Two-Year Foreign Residency Requirement

Under terms of the Immigration and Nationality Act, participants of U.S.-based participant training activities must reside for a total 24 months in their respective host country before being eligible for H-1 or L-1 non-immigrant visas or for legal permanent residence in the U.S. This residency requirement does not prevent returned participants from other types of visas. See ADS 252, Section 252.3.6 <http://www.usaid.gov/policy/ads/200/252.pdf>, p. 11.

2.4.5(b) Employment

Policy on employment while participating in a USAID-sponsored training program is provided in ADS 253, Section 253.3.1.4.b, p, 10, <http://www.usaid.gov/policy/ads/200/253.pdf>.

2.4.5.1 Health and Accident Insurance Coverage

Appropriate Health and Accident Insurance Coverage is required for all training participants. Enrollment of all U.S.-based participants in the agency's Health and Accident Coverage (HAC) Program is a J-visa eligibility requirement and requires completion of a Medical History and Examination Form. ([See Appendix 2.2 – Medical History and Examination Form 1382-1.](#)) All training participants must be enrolled in HAC Plan B. The central training implementation contractors provide for HAC enrollment under the FORECAST II IQC integrated services package (see 2.5.4). For further details, including Agency policy on Double Coverage by Educational Institutions, see the Mandatory Reference for ADS 253 "Detailed Guide for Training Results," Section IX, p. 21, <http://www.usaid.gov/policy/ads/200/253maa.pdf>, and the Mandatory Reference, HAC Insurance and Certification of Medical Eligibility, <http://www.usaid.gov/policy/ads/200/253mab.pdf>.

2.4.5.2 Language Proficiency Determination

The central training implementation contractor must ensure, for J-visa eligibility, that training participants are sufficiently proficient in the English language to fully participate in their participant training programs before they enter the U.S. In exceptional cases, USAID sponsoring units may grant a waiver or exemption of the language verification requirement. Sponsoring Units may choose to use an English language test to determine an adequate level of English proficiency. If this is the case, the FORECAST II IQC contractor will administer the test. Missions may establish other criteria for determining English proficiency in their Mission Orders for Training.

Language proficiency determination is included in the FORECAST II IQC integrated services package outline in Section 2.5..3.6.5, p.17. See the Mandatory Reference for ADS 253 "Detailed Guide for Training Results," Section X, p. 27, <http://www.usaid.gov/policy/ads/200/253maa.pdf>.

In addition, the FORECAST II central training implementation contractors must also verify that all training participants are able to understand and respond correctly to typical questions asked at the U.S. port of entry using all of the following sample questions that are indicative of what an immigration officer might ask our participants:

- ❑ *Where are you going?*
- ❑ *Are you here for pleasure or business?*
- ❑ *What is the purpose of your travel to the US?*
- ❑ *Who paid for your trip?*
- ❑ *Will you receive any compensation while being in the US?*
- ❑ *Do you plan to work in the US?*
- ❑ *Your Last (First) name appears misspelled on DS-2019 Form. Please explain.*

- ❑ *The program start date is the day before yesterday. Why are you late?*
- ❑ *Why does your birthday appear as 07/08/1961 on your form, and as 08/07/1961 in your passport?*
- ❑ *Do you have any relatives in the US? Do you plan to visit them?*

2.4.6 Training Provider Selection

Because tuition rates are published, academic training is considered an “off-the-shelf” course. Therefore, the central training implementation contractor may do a non-competitive award to the University or College.

2.4.6.1 Review Committee

The implementing contractor will examine the participant's bio and background (test scores, areas of study, etc.) and based on this apply to several schools for the academic training requested for information and tuition confirmation. A review committee will score the responses and information received and recommend to the Mission the university or college chosen that meets the criteria of a non-competitive award based on published tuition rates.

The implementing contractor(s) must take into account several factors when reviewing information, including standard tuition caps, program topics, and the use of minority servicing institutions. See ADS 253.3.6.1 Tuition and Administrative Fee Caps, p. 20, <http://www.usaid.gov/policy/ads/200/253.pdf>.

2.4.6.2 Procurement Documentation

The USAID Mission makes the ultimate determination regarding what institution will provide the academic training program. The Mission may not necessarily choose the review committee's recommended academic institution.

The implementing contractor(s) will provide the Mission with the Selection and Recommendation Memo and documentation that supports the non-competitive procurement of the academic training. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation must be included in the Academic Training Request (Section C.8 and Section F, under comments) and must be approved by the Mission.

2.4.6.2(a) Recommendation and Selection Memo

Once potential academic institutions are identified and program information and tuition confirmed, the central training implementation contractor(s) will score the responses and information received and recommends the most cost-effective, quality academic

program to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the academic program. The recommendation memo may also serve to clear approval for any costs exceeding ceilings or the PSR-T budget. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

All proposals (not just the recommended one) are shared with the USAID project officer/SO Team. It is not necessary that the least expensive bid be chosen, but the best value program should be selected as long as the costs for that program are not substantially higher than the competition.

The USAID Mission ultimately selects the training provider. The Mission may not necessarily choose the central training implementation contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The central training implementation contractor will generally request explanation from the Mission should their recommended provider not be chosen.

2.4.7 Training Implementation Plan

The [Training Implementation Plan \(TIP\)](#) is the central training implementation contractor's detailed training intervention design prepared in response to the PSR-T. The TIP covers each segment of the training intervention, including relationships of training components to strategic objectives, the training institution and the location, specific training activities, and duration of each segment. The TIP describes how the training objectives will be achieved and provides a budget estimate. Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- language of training;
- training subject;
- training dates;
- program objectives;
- description of course plan and training methodologies;
- all logistical arrangements, including travel and lodging arrangements with corresponding daily costs; and
- budget worksheet.

The TIP must be approved and signed by the Mission. Should any training costs, in the course of execution, exceed by 10% what is indicated on the TIP, the central training implementation contractor must secure Mission approval.

For multi-Mission events a TIP must be executed for each participating Mission.

2.4.7.1 Arrange for Travel

Where USAID and the host country have agreements that stipulate that host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure (including incidental costs), USAID sponsoring units may wish to obtain either a country-wide or a program-specific waiver to allow USAID funding these arrangements. The waiver must be kept on file. Possession of the waiver must be reflected in the Mission Order for Participant Training.

2.4.7.2 Arrange for Lodging

For long-term academic training, paying the actual cost of accommodations directly, and only providing participants with M&IE has proven to be cost effective. Shared accommodations should be used whenever possible and the housing should be on or close to campus.

The central training implementation contractor(s) must ensure that participants in training programs taking place at U.S. sites are housed in double-occupancy rooms.

2.4.7.3 Participant Maintenance Allowances

USAID relies on a prescribed payment structure for participant maintenance allowances for all sponsored programs and this structure must be adhered to by central training implementation contractor(s) when structuring a program. ADS 253, Section 253.3.6.2 outlines Agency policy on allowances, including conditions under which adjustments must be made. The task order COTR must make all final determinations regarding allowance adjustments.

2.4.8 Pre-Departure Orientation and Preparation

Pre-departure orientation and preparation is an integral component of participant processing. Appropriate pre-departure orientation and preparation is required for all USAID-sponsored training. Full pre-departure orientation for participants of U.S.-based activities is a J-visa eligibility requirement.

2.4.8.1 Orientation

Sponsoring units (or implementers, as designated) must meet with U.S. bound participants prior to departure to provide orientation on the travel schedule, the goals of the activity, conditions of sponsorship, administrative details, and American culture and practices. Pre-departure orientation can be provided by the FORECAST II central training implementation contractor(s) as part of the integrated package of services (see Section 2.5.4).

2.4.8.2 Objective Memo

Before departure, each participant must sign an [Objectives Memo](#) that is prepared and provided by the central training implementation contractor. The memo outlines what

the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement.

2.4.8.3 Conditions of Sponsorship

Before departure, each participant must also sign a [Conditions of Sponsorship Form for J-1 Visa Holders](http://www.usaid.gov/forms/a1381-6.doc) (USAID Form 1381-6, <http://www.usaid.gov/forms/a1381-6.doc>) provided by the central training implementation contractor. The essential terms are listed in ADS 252, section 252.3.6, p. 11 <http://www.usaid.gov/policy/ads/200/252.pdf> and ADS 253, Section 253.3.1.4, p. 10, <http://www.usaid.gov/policy/ads/200/253.pdf>.

2.4.8.4 Participant Action Plans

Action Plans are required for FORECAST II IQC training participants, and are recommended as a best practice for use by other training implementers (See Appendix 2 for a sample) Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider and other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan must be drawn up before the participants' departure, but it will evolve during the course of training.

2.4.9 Tracking U.S.-Based Participants

The vital importance to the United States Government of tracking international students and other Exchange Visitors enrolled in U.S.-based activities is documented in the Enhanced Border Security and Visa Entry Reform Act of 2002. The Department of Homeland Security, Immigration and Customs Enforcement (ICE), and Department of State, through the Student and Exchange Visitor Information System (SEVIS), manage the issuance of J-1 and J-2 visas, track students and Exchange Visitors, and monitor information relative to each Exchange Visitor.

Agency policies, as well as supporting procedures and systems, for tracking USAID-sponsored participants reflect these SEVIS requirements: (1) The central training implementation contractor must track the whereabouts of training participants at all times while they are in the United States and current contact information must be provided to the COTR at any time upon request; and, (2) The central training implementation contractor is also responsible for tracking training participants for timely return to their business or professional settings in their home countries.

Training participants must arrive in and depart from the US on the dates specified on the DS-2109.

2.4.9.1 Participant Status Changes – Via TraiNet and VCS

Throughout a participant's stay in the United States, the central training implementation contractor must transmit changes in a participant's status to the EGAT/ED Responsible Officer.

The following must be transmitted to the EGAT/ED Responsible Officer by entering the changes in participant status into USAID's Training Information Network (TraiNet), and verifying and approving the information using the USAID Visa Compliance System (VCS).

2.4.9.1(a) Participant Validation

Within the time period specified in ADS 252, the central training implementation contractor must provide validation that each participant has begun his or her activity. If validation is not received as prescribed, an EGAT/ED Responsible Officer will report the participant to SEVIS as a 'no show.'

2.4.9.1(b) Participant Biographical Data Updates

During the course of a participant's activity, the central training implementation contractor as required in ADS 252 must update any changes in the participant's bio-data.

2.4.9.2 Participant Status Changes – Via Written Notification

The following other information must be transmitted to the EGAT/ED Responsible Officer in writing.

2.4.9.2(a) Travel Outside The United States

Participants must obtain the approval of the central training implementation contractor for travel outside the U.S. while enrolled in a USAID-sponsored training or other visitor exchange activity.

The central training implementation contractor must ensure that participants' Certificate of Eligibility forms DS-2019 are endorsed with the signature of the EGAT/ED Responsible Officer or Alternate Responsible Officers before the participants depart the U.S.

2.4.9.2(b) Non-Returnees

The central training implementation contractor must track the departure status of training participants, and must inform the COTR and the EGAT/ED Responsible Officer in writing immediately if a participant becomes a non-returnee. The central training implementation contractor will also inform the COTR and EGAT/ED Responsible Officer if a non-returnee is found to have returned to their home country at any time thereafter.

Efforts to reduce non-returnee rates must be continuous and focused on the planning, design, participant selection, and progress monitoring as well as on tracking participants' post-activity whereabouts.

2.4.10 Monitoring U.S.-Based Participants

The central training implementation contractor must monitor each training participant's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

2.4.10.1 Minimum Requirements for Active Monitoring

At a minimum, monitoring must include assurances that:

- ❑ The training participant visitor has arrived and settled into appropriate living quarters;
- ❑ The training meets both the technical and cost requirements of the approved Training Implementation Plan (TIP);
- ❑ The training participant is enrolled in a full course of study or is regularly attending scheduled activities and/or sessions of a technical program;
- ❑ Adequate levels of achievement are being met;
- ❑ No serious personal or health problems develop which impair the successful completion of the activity;
- ❑ The participant continues to have a valid passport, J-visa, and Certificate of Eligibility Form DS-2019;
- ❑ Departure arrangements are made upon completion or termination of the activity, and the COTR and appropriate USAID Mission are informed of the arrangements;
- ❑ The training participant is returned to his or her home-country workplace or professional setting, so as to maximize the outcomes of the training program.

Progress in academic and long-term technical (over five months) programs must be documented on the [Academic Enrollment and Term Report \(AETR\) \(AID-1380-69\)](#). The form can also be used for programs of less than five months given by a training institute with a formal structure. The central training implementation contractor is responsible for obtaining the report from academic institutions and providing it to the Mission.

2.4.10.2 Minimum Requirements for Documentation

The central training implementation contractor must keep relevant documentation on file pertaining to training participants and training activities, including:

- ❑ TICs and PSR-Ts
- ❑ nomination/participant selection documentation
- ❑ participants' bio-data information
- ❑ face page of participants' passports
- ❑ participant security risk and fraud inquiry documentation
- ❑ Basis for determining English Proficiency
- ❑ medical clearance confirmations
- ❑ signed stakeholder/training agreements
- ❑ signed conditions of sponsorship forms
- ❑ TIPs
- ❑ pre-departure orientation checklists
- ❑ participant tracking documentation
- ❑ all other documentation/correspondence related to visa compliance, including a black and white copy of the participants stamped DS-2019

2.4.11 Evaluation

Evaluating the efficiency of each training event, and the effectiveness of the investment in promoting overall goals of the training program are prime components of the central training implementation contractor's role. These findings may be used to modify and improve ongoing or successive planning cycles.

2.4.11.1 Exit Questionnaire

At the end of every U.S.-based training program, the FORECAST II central training implementation contractor is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide USAID with feedback on the quality of the academic program and the likeliness of participants maximizing the outcomes of their programs. The exit questionnaires are critical for the central training implementation contractor's self-evaluation of their implementation and management of the activity. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or

successive programming cycles, especially with regard to the design of follow-up activity requests.

2.4.11.2 Post-Activity Interviews

Interviewing training participants 6-9 months after completion of academic training programs is a best practice. FORECAST II IQC central training implementation contractors may provide post activity services as part of their integrated package of services.

USAID/Washington will analyze and report on all training program evaluation data.

2.4.12 Reporting

The central training implementation contractor is responsible for reporting certain participant information to USAID and other U.S.G. agencies in accordance with USAID directives.

2.4.12.1 Participant and Activity Data

The central training implementation contractor must use USAID's Training Information Network (TraiNet) to report required information regarding training participants and activities to USAID, as instructed in agency directives and guidance. This data is used for answering Congressional inquiries and reporting on USAID activities.

2.4.12.2 Participant Taxes

All participants in U.S.-based training activities are subject to the IRS requirement of filing U.S. tax returns, whether or not tax payments are due. The central training implementation contractor and training participants must ensure all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations, including USAID directives.

2.5 POLICY AND PROCEDURES FOR TRAINING-RELATED SMALL GRANTS

All training-related grants funded by E&E Missions under the E&E Regional Participant Training Program are executed with specific HCA approval in accordance with ADS 302.5.6, and in accordance with established E&E Bureau policy and procedures for administering small grants.

The small grants program is designed as in-country follow-on support to participants who have returned to their place of employment after receiving USAID participant training under the FORECAST II IQC. Specifically, the grants will support the application of newly acquired knowledge, skills and attitudes within the participant's organization; support continuing education; facilitate reintegration back into the working organization; enable professional networking; and disseminate newly acquired

information to colleagues. The small grants program objective is to buttress and facilitate the goals and action plans that participants outlined before and during their training program.

Some examples of possible uses of small grants include developing manuals, organizing conferences/training sessions for peers, attending conferences, software or internet access, or professional consulting services, and/or commodities related to the implementation of action plans. Please note that it is FORECAST II IQC policy that small grants are for in-country activities only.

In response to Mission requests, the implementing contractor(s) will execute the small grants program on behalf of USAID in accordance with the procedures in this chapter. The chapter outlines the minimal procedural requirements for administering training-related small grants. Individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the FORECAST II IQC COTR to ensure that such requirements comply with Agency directives, Bureau policies and the implementing contractor(s)' task order.

2.5.1 Human and Institutional Capacity Building and Cross-Cutting Activities Plan

Missions must develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan (described in Chapter 1 [\[insert hyperlink\]](#)) on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Crosscutting Activity Plan contain all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.5.1.1 Accessing the Small Grants Program

Missions access the small grants program provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plans.

2.5.2 Performance Solution Request Form - Small Grant

As part of the integrated services packages of the FORECAST II IQC, the central training implementation contractor(s) may develop and draft small grant requests on behalf of the Mission, in accordance with Mission input and with Mission support. Grants to be supported with FY 2009 funds, and/or future FY funding, must be included in the Mission's HICD and Cross-Cutting Activities plan, and be in support of a specific Mission SO/IR and training activity or set of activities. The HICD and Cross-Cutting Activities plan should clearly set forth the relationship between a proposed training activity and/or set of activities and the award of future training-related grants.

A grant request prepared for the Mission will make reference to and include much of the same information as required in a training request of which it is a follow-on – such as strategic objectives, intermediate results, and activity. Key elements include how the small grants will support the achievement of the SO that is targeted in the training plan and the participants’ action plans, a budget of costs, and recipients to be targeted.

2.5.2.1 Mission Approval

All grant requests must be approved by the Mission. As they become part of the HICD and Cross-Cutting Activities Plan, grant concepts and requests may be prepared and approved on TIOL.

2.5.3 Grant Review Process and Program Promotion

When a grant request is ready to move forward, a time frame for soliciting applications and reviewing the grants will be proposed by the implementing contractor and reviewed and approved by the USAID Mission. The implementing contractor will recommend the number and composition of reviewers of the applications and create a proposal review worksheet.

The implementing contractor will promote the small grants program by issuing program invitations and application kits to potential recipients. Review and approval from USAID for program promotion is required.

The central training implementation contractor may be responsible for developing the evaluation and selection criteria, which will be approved by USAID.

2.5.3.1 Applicant Eligibility and Selection

Certain minimum criteria must be met when determining the eligibility of a grant recipient. Grants are to be awarded if the following conditions are met:

- Grants are only for organization or work units, not individuals. However, USAID may make a provision to award a grant to an individual provided that the organization or work units authorize the application;
- The organization benefited from USAID training which took place not earlier than June 1997;
- The grant must be in support of the same SO as outlined in the training event request and part of the Mission’s training plan;
- Grants are only for in-country activities;
- Priority will be given to applications from participants in training of more than 3 days in duration;
- Priority will be given to organizations that have not been previously awarded a training/HICD-related grant. However, USAID at its discretion, may approve a subsequent grant to a prior grant recipient if a) the subsequent grant is not for the same activity as the prior grant; and b) if the subsequent grant is an integral part of a larger HICD activity or

training series being undertaken with the organization and where a subsequent grant is demonstrated to fit into the larger HICD/training plan with the organization.

Grants should not be used for:

- Sending people to training programs or to fund follow-up training activities that would otherwise be implemented under FORECAST II Training;
- Any activities in the U.S. or third-countries;
- Funding religious activities;
- Activities that exceed 1 year to implement; and
- Activities that exceed a reasonable cost.
- Any activity to influence the outcome of an election, or promote an individual or political party self-interest.
- Small grant funds may not be used to augment salaries of government employees for work performed to implement the grant activity during the course of regular business duties and/or regular office hours. Salary supplements are payments made that augment an employee's base salary or premiums, overtime, extra payments, incentive payment and allowances for which the Host Government employee would qualify under Host Government rules or practice for the performance of his/her regular duties or work performed during his/her regular office hours. Per diem, invitational travel, honoraria and payment for work carried out outside of normal working hours are not considered to be salary supplements. (see FAR 752.231-71)

2.5.4 Review of Applications

Small grant awards are made based on an application process. Grant applications may be accepted year-round on a “rolling-admission” basis.

The participant must complete an application that includes the application form (see Appendix 1.1.3), a budget, an updated action plan, a timeline with projected dates for the entire implementation of the activity, and any additional documents to describe what the grant will fund.

The implementing contractor will ensure that each application is complete and will conduct a “responsibility determination” on each application before forwarding the applications to the review committee. The “responsibility determination” includes answering questions such as:

- how well does the field office or other relevant USAID implementing partner know the individual/organization;
- what information is available that shows the individual/organization will comply with award criteria and be accountable; and
- has the organization ever managed funds from another donor?

USAID Mission staff participates in the review committee, which may be chaired by the implementing contractor, at the Mission's discretion. The USAID Mission makes the final determination on the grant recipients. The implementing contractor will notify all applicants of the final decision regarding the success or failure of their application. Execution of the grant agreement will be completed and the funds will be disbursed by the implementing contractor on behalf of USAID.

2.5.5 Grant Award

The central training implementation contractor should negotiate the budget of each grantee before signing an award letter. The budget must specify grantee contributions, if applicable, and reimbursable and ineligible costs.

It is a best practice for the grant award letter to include the approved activity description, a timeline for completing the grant, financial and narrative reporting requirements, terms of payment, and grant termination, dispute, and close-out procedures. In most cases it is a best practice that a percentage be withheld until the final report is received.

It should also recommend that the implementing contractor hold a grants management workshop (for multiple recipients when applicable) or consultation (for individuals). The workshop will familiarize grantees with the purpose and objectives of the Small Grants Program and the Grant Agreement Letter and help grantees finalize their program outcomes and determine measurable indicators of achievement.

2.5.6 Monitoring and Evaluation

If a grant is approved, the implementing contractor will work to ensure proper use of funds and that the grant awardee adheres to all terms of the grant application/agreement and reporting requirements.

At the award stage, the implementing contractor will specify monitoring visits and submission of financial reports as required.

The implementing contractor will receive all financial and narrative grant reports that will be required of the awardee. Site visits will be conducted by implementing contractor staff as appropriate. If the implementing contractor suspects or discovers evidence of impropriety, misuse of funds, or non-compliance, they will notify USAID immediately and take one or more actions as specified in OMB A-110, 62(a) which include:

- temporarily or permanently withholding cash payments;
- disallowing all or part of cost of activity not in compliance;
- wholly or partly suspending or terminating the award;
- taking other remedies as legally available.

The implementing contractor will prepare a report on grant outcomes to the USAID Mission and will meet with USAID as needed.

2.6 POLICY AND PROCEDURES FOR TRAINING-RELATED TECHNICAL ASSISTANCE

This section presents the required preparation and documentation necessary for USAID-sponsored in-country training-related technical assistance. FORECAST II IQC technical assistance is envisioned as a means of providing additional support to a participant or group of participants that have returned to their respective place of employment following USAID FORECAST II IQC training. The objective of FORECAST II in-country technical assistance is to facilitate and buttress the goals and action plans that participants outlined before and during their training program. In addition, such in-country FORECAST II technical assistance could be targeted at overcoming specific constraints trainees experience in their workplace in transferring the knowledge they have recently acquired through FORECAST II IQC participant training programs.

It is important to note the difference between a small grant and a technical assistance intervention, as the two may seem to have similar objectives. A small grant enables the participants to further their training goals through their own activities such as organizing a conference or creating their own materials to disseminate to colleagues. A technical assistance intervention, enables an outside expert or institution to come in to the participant's work place to provide a variety of technical services over a specified period of time.

Training-related technical assistance interventions might include:

- Bringing staff from an organization that has provided U.S. or third-country training to work with trainees in their home institutions to apply and transfer their newly acquired knowledge, skills and attitudes;
- Fielding a faculty member from a U.S. university to work side-by-side host country faculty in an in-country institution on curriculum, materials development, and supervision of teaching and teaching courses;
- Providing different sector specialists, as appropriate, to work with trainees at their workplace to address specific constraints and/or barriers which are preventing them from carrying out their action plans; and
- Translation or procurement of training manuals or guides.

In response to Mission requests, the training implementation contractor(s) will coordinate, administer and monitor all in-country-training related technical assistance interventions. It is important to emphasize that all such technical assistance interventions must be integrated into a given Mission's training plan.

2.6.1 Human and Institutional Capacity Building and Cross-Cutting Activities Plan

Missions must develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan (described in Chapter 1 Appendix 1.9] on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD and Crosscutting Activity Plan contains all Mission HICD activities that would otherwise be included in separate Strategic Objectives Team plans or Bureau strategy plans.

2.6.1.1 Accessing the Technical Assistance Program

Missions access technical assistance provided by the FORECAST II IQC through their Human and Institutional Capacity Development (HICD) and Cross-Cutting Activities Plans.

2.6.2 Performance Solution Request Form -Technical Assistance

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training-related technical assistance requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed technical assistance requests.

Much of the information in the request is based on the training intervention for which the technical assistance is providing follow-up support.

In the request, participants and location of technical assistance (i.e. participant’s work place or other appropriate location) should be identified. The type of technical assistance needed, as follow-up support to the previous training intervention, must be clearly defined. Other necessary elements of the technical assistance request include the length of the assistance (whether a series of activities or just a single TA intervention, for example), how many experts may be needed, and foreign language requirements of the technical assistance provider, if an interpreter will not be used.

It should be noted that it is not envisioned that commodities will be a prime deliverable of a technical assistance intervention. A small grant may be better suited for the purchase of training-related commodities (refer to Section 2.6 for more details on training-related small grants).

2.6.2.1 Mission Approval

All technical assistance requests must be approved by the Mission. As they become part of the Training Plan, technical assistance requests are often reviewed and signed by several managers in the Mission such as the SO Team leader, Program Officer, and/or Mission Director. When the highest-level approval is received, the technical

assistance request is approved and the training implementation contractor may begin to commit to or incur costs.

2.6.3 Technical Assistance Provider Selection

Training Provider services under the FORECAST II IQC will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the central training implementation contractor(s) and approved by the Office of Acquisitions and Assistance, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

2.6.3.1 Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisition and Assistance directives, the FORECAST II IQC central training implementation contractors must determine the mode of procurement (competitive, non-competitive, and sole source). However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. Where it has been determined by USAID that training provider services for an event will not be competitively procured, a request for non-competitive or sole source procurement with appropriate justification must be provided in the PSR-TA.

The FORECAST II IQC requires that the central training implementation contractor(s) obtain training proposals from all training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The central training implementation contractor(s) is responsible for ensuring the quality of all training and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process. Training conducted under other mechanisms may benefit from following these best practices in procurement.

2.6.3.1(a) Competitive Procurement

The FORECAST central training implementation contractor(s) must competitively solicit for technical assistance services to carry out tailored IC technical assistance. If possible, the central training implementation contractor(s) should contact at least five technical assistance providers and send each a Request for Technical Assistance Proposal (RFTAP). Interaction with the potential technical assistance providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the FORECAST II IQC and approved by USAID's Office of Acquisition and Assistance. Document of the interaction should be retained in the central training implementation contractor's program files.

2.6.3.1(b) Non-competitive and Sole-Source Procurement

Under the FORECAST II IQC, implementing contractor(s) must obtain proposals from all technical assistance providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The implementing contractor(s) is responsible for ensuring the quality of all technical assistance interventions through the FORECAST II IQC and therefore must be in a position to negotiate with and provide technical guidance through the proposal review process.

2.6.3.2 Procurement Documentation

The required documentation for the procurement of technical assistance providers is determined by the mode of procurement utilized, but will include the Selection and Recommendation Memo, and, if appropriate, the Sole Source Justification.

2.6.3.2(a) Recommendation and Selection Memo

Once potential providers submit bids for procurement, the material sections of each proposal are carefully reviewed. The central training implementation contractor(s) recommends the most cost-effective, quality technical assistance proposal to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the technical assistance. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

All proposals (not just the recommended one) are shared with the USAID project officer/SO Team. It is not necessary that the least expensive bid be chosen, but the best value proposal should be selected as long as the costs are not substantially higher than the competition.

The USAID Mission ultimately selects the technical assistance provider. The Mission may not necessarily choose the central training implementation contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed technical assistance provider. The central training implementation contractor will generally request explanation from the Mission should their recommended provider not be chosen.

2.6.3.2(b) Sole Source Justification

In those instances where the Mission has requested sole source procurement with a specific technical assistance provider, the central training implementation contractor will prepare, using justification provided by the Mission, appropriate documentation for the sole source procurement. Such documentation must be included in the technical assistance request. If Mission approval has not been obtained through the TA request, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

2.6.4 Technical Assistance Implementation Plan

The Technical Assistance Implementation Plan (TAIP) is the central training implementation contractor's detailed technical assistance design prepared in response to the Request for Technical Assistance. The Technical Assistance Implementation holds in one place all the critical information of the technical assistance, including the itinerary and budget. Required elements include the following:

- name of technical assistance intervention;
- names of participants;
- name of technical assistance provider;
- description of type of technical assistance to be provided;
- technical assistance dates;
- assistance objectives;
- itinerary including day-to-day description of technical assistance methodologies;
- budget worksheet.

The implementation plan must be signed by the Mission.

2.6.4.1 Arrange for Interpreters

The use of interpreters, if necessary, must be indicated in the PSR-TA. Interpreters may be arranged to ensure the effectiveness of the training intervention.

2.6.5 Monitoring TA Interventions and Reporting

For technical assistance activities, the implementing contractor(s) field offices are responsible for staying in regular contact with the technical assistance provider and can be alerted through that channel if problems arise. In addition, personal calls to the participant(s) is highly recommended and is usually part of the monitoring procedure.

A monitoring site visit to observe technical assistance intervention may be conducted when appropriate. The implementing contractor can then evaluate if the technical assistance is meeting the needs as outlined in the Mission's technical assistance request. The contractor will be responsible for reporting to the Mission the outcome of the technical assistance intervention.

This review will specify whether the technical needs have been met, or have not been met and why, or if additional technical assistance activity is needed.

APPENDIX 2.1 – DEPENDENT CERTIFICATION FORM 1380-5

The Dependent Certification Form 1380-5 for individuals participating in a USAID-sponsored training program is provided in ADS 252, Section 252.3.2.

APPENDIX 2.2 – MEDICAL HISTORY AND EXAMINATION FORM 1382-1

The Medical History and Examination Form 1382-1 for individuals participating in a USAID-sponsored training program is provided in ADS 253, Section 253.4.3.

APPENDIX 2.3 - SAMPLE TRAINING IMPLEMENTATION PLAN

TO: Field Office/Mission
 FROM: Name of Programmers
 DATE: Date that TIP is executed
 PAGES: Number of pages of TIP

TRAINING IMPLEMENTATION PLAN

Name of Program

1. **Training Subject:** Brief description of program, program objectives and what is expected of participants upon their return home as a result of the training.
2. **Program Date:** Dates of training event.
3. **Duration of Training:** Number of days of training
4. **Name(s) of Participant:** Names of all participants including gender and HAC ID number if available.
5. **Name of Training Provider:** Name of Training Provider and phone, fax and address of primary contact.
6. **Name(s) and Contact information of training programmers:** Names of US or Field Office staff in charge of program, including emergency contact information. Also include name of interpreter if one will be used.
7. **International Travel Information (if UST, or TCT):** A clear and detailed schedule of arrival and departure travel arrangements and responsibility for tickets (whether handled by field or DC) should be included. In the following sample format preferably:

Date of Flight	Flight number	Airline Company	Flight (from-to)	Departure	Arrival
12-Mar-2000	R# 151	Armenian Airlines	Yerevan-Amsterdam	08:10	10:00
12-Mar-2000	KL 6037	United	Amsterdam-Washington	11:35	14:30
01-Apr-2000	KL 6037	United	Washington-Amsterdam	17:05	7:45
02-Apr-2000	R3 152	Armenian Airlines	Amsterdam-Yerevan	12:50	20:20

8. **Luggage Information:** Information on luggage limitations and handling.
9. **Domestic Travel Information:** A clear and detailed schedule of arrival and departure travel arrangements should be included. In the above sample format for air travel. Bus or other transportation should also be clearly described here.
10. **Weather information:** Average temperatures of cities to be visited and clothing suggestions.
11. **Accommodations:** Briefly describe accommodations, list hotel name(s), address and phone number. Do not include cost here. Sample text:
"Participants will be housed in double-occupancy rooms in Washington, DC and Baltimore, MD. In Chicago, they will stay with host families. Most of host families will speak Armenian."

HOTEL IN WASHINGTON, DC

Capital Suites

New Hampshire Avenue
Washington, DC 20009
Phone: 202-234-3200
Fax: 202-387-0085

Capital Suites hotel rooms include hair dryer, TV, microwave. Fitness Center available.

Hotel in Baltimore, MD

Maryland Suites

Howard Street
Baltimore, MD 21201
Phone: 410-999-9990
Fax: 410-999-9992

Maryland suites hotel rooms have no coffee makers, hairdryers, or mini-bars. No pool or fitness center."

12. **Allowance Information:** Include information on Advance Maintenance Allowance and a detailed schedule of daily meal and incidental allowance.
13. **Receipts:** Information on how participants are to handle receipts.
14. **Business Cards:** Remind participants to bring them.
15. **Income tax status (UST):** For example, "Based on information provided, training assumed to be job related."
16. **Confirmation of Med Certs (UST):** If HAC enrollment not processed yet, list a DEADLINE for Mission to confirm Med Certification. Also include any pertinent HAC information such as what do if participant becomes ill and deductibles.

17. **J-1 Visa requirements (for UST):** Reiterate J-1 visa requires that participants return home immediately following the training program.
18. **Training Program Outline:** A full description of the training program is a critical component of the TIP and must be included. The outline should go over in detail *every day* of the training including the times set for meetings, site visits, lectures, and cultural events. Methodologies used for each day of training, names of trainers and the training objectives and purposes of each day should also be included. Also to be indicated on the TIP are all accommodations that have been arranged for each particular day. If there is any other pertinent information that the participant will need, such as the time for check in and check out of hotels, contractor interview times, transportation directions, and so forth, it should go in this section of the TIP.
19. **Budget Worksheet (BWS):** On a separate page write out all confirmed costs of the program for approval by the USAID Mission. All participant expenses should be clearly indicated and not grouped together in totals. The budget sheet should be signed by the program manager. The following format should be used:

PARTICIPANT TRAINING BUDGET WORKSHEET

Program Title:
 Country:
 Training Provider:
 Start/End Dates:
 Number of weeks:
 Prepared by (sign):
 Reviewed by (sign):

Participants:

TOTAL	Unit Cost	#of Units	#of Pax	Total per pax		
Education/Training Costs						
\$900.00	Clemson Research	\$900.00	1.0	1	\$900.00	
\$200.00	Plans and Solutions	\$200.00	1.0	1	\$200.00	
					Sub-total: \$1100.00	
Allowances						
	Lodging-Clemson, SC	\$35.00	3.0	1	\$105.00	\$105.00
	Lodging-Washington, DC	\$60.00	3.0	1	\$180.00	\$180.00
	M&IE - Clemson, SC	\$30.00	3.0	1	\$90.00	\$90.00
	M&IE - Washington, DC	\$46.00	3.0	1	\$138.00	\$138.00
						Sub-Total: \$513.00

Travel

International	\$1,800.00	1	1	\$1,800.00	\$1,800.00
Domestic	\$400.00	1	1	\$400.00	\$400.00
Ground	\$50.00	1	1	\$50.00	\$50.00
					Sub-Total: 2,250.00

Insurance

HAC	\$42	2	1	\$84	\$84
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TOTAL COST PER PARTICIPANT PER WEEK (EXCLUDING HAC AND TRAVEL)

APPENDIX 2.4 TRAINING OBJECTIVES MEMO

(Implementing Contractor letterhead)

USAID - Participant Training Program

Acknowledgement of Training Objectives

For Individuals

This is to certify that I have received from (name of implementing contractor) a copy of the program description. I have thoroughly reviewed the program’s goals and objectives which are as follows:

Program Goals: (Insert Program Goals Here)

Program Objectives: (Insert program Objectives Here)

I am in agreement with these goals and objectives. I am prepared to do my best to ensure their attainment. In this regard, I am willing to engage in the following activities:

- Development of a professional work plan for myself and my organization which incorporates the lessons-learned and knowledge gained from my training program;
- Sharing my training experience with my colleagues, co-workers and other professionals in my field;
- Participation from time-to-time in related professional seminars, workshops and conferences;
- Participation in pre-training activities organized by (implementing contractor) for other professionals who will be taking part in similar training programs; and
- Other activities which (implementing contractor) may organize to further the attainment of the goals and objectives of my training program.

Signature

Date

Printed Name

Title

Training Event Nam

APPENDIX 2.5 CONDITIONS OF SPONSORSHIP FORM

Each participant must sign a Conditions of Sponsorship Form for J-1 Visa Holders (USAID Form 1381-6, <http://www.usaid.gov/forms/a1381-6.doc>) provided by the central training implementation contractor. The essential terms are listed in ADS 252, section 252.3.6, p. 11 <http://www.usaid.gov/policy/ads/200/252.pdf> and ADS 253, Section 253.3.1.4, p. 10, <http://www.usaid.gov/policy/ads/200/253.pdf>.

APPENDIX 2.6 – ACADEMIC ENROLLMENT AND TERM REPORT

The Academic Enrollment and Term Report form for individuals participating in a USAID-sponsored training program is provided in ADS 253, Section 253.3.5(a).

3. COMMUNITY CONNECTIONS

Community Connections (CC) is a program that is funded by the E&E Bureau and missions and managed by the EGAT/ED Bureau within a “program” status under FORECAST. This special status is an important distinction because CC is to be implemented as a separate and independent program from FORECAST, with separately designated program identification, implementation schedule, and processes – as set forth in this chapter.

3.1 OVERVIEW

The EGAT Bureau assumed management responsibility for the CC program from the Department of State (STATE), Bureau of Educational and Cultural Affairs (ECA). Since its inception the broad public diplomacy goals of CC have been to contribute to economic and democratic reform and to promote mutual understanding in Eastern Europe and Asia – providing professional participants’ broad exposure to U.S. society and helping to create personal connections with Americans, advancing democratic and free-market principles in a region where those principles are still tenuous.

The CC program, under EGAT/ED management, continues to promote the overall goal of supporting public diplomacy and the specific goals of participating countries. This program is expected to:

- (1) Expose participants to the institutions and challenges of a democratic, free market society;
- (2) Inspire participants to implement change in their home countries;
- (3) Build public-private partnerships; and
- (4) Create professional linkages between the American host communities and the participants’ home communities.

A recent evaluation shows that CC has been achieving important public diplomacy objectives in a region where public attitudes towards the U.S. are of concern. Despite the decision that STATE/ECA will no longer manage this program, those public diplomacy objectives remain valid and the CC program continues to garner support among U.S. ambassadors in the region.

*CC activities provide a 3 to 5-week U.S. home-stay-based professional exchange opportunities linked to about 50 local community host organizations in the U.S. for local government officials, legal professionals, non-governmental organizational leaders, and other professionals in the areas such as fine arts, agriculture, education, health, disabilities and religion. Community-based U.S. hosting organizations arrange exchanges for professionals that are group-focused exchange opportunities.

While diplomacy remains the major goal, intended results of CC programs also include outcomes that may directly support a Mission’s crosscutting strategic objective.

*The CC program is not designed to replace or be used as a participant training program, although with increased mission funding it may address some mission development objectives. There are significant differences between CC and participant

training: CC exchange visitors are selected through open competition based on public-diplomacy driven criteria, live with families during their stay in the US, and have cross-cultural goals as a primary objective of their programs. Participant training participants are specifically selected through a process that identifies performance issues within an organization or sector, and then targets the individuals most likely to affect change. In addition, there often is no cross-cultural component or homestay experience; therefore participant training is dedicated primarily to technical issues. Participant training programs are designed to address organizational or sector needs and CC is often designed to meet exchange visitor needs. In contrast, the technical aspect of the CC program is only one part of the three main components of the CC experience - technical, Experience America and homestay.

3.1.1 Authority Reference

This chapter provides IQC-COTR best-practice policy and procedural guidance, in accordance with the FORECAST II IQC (Section F.2 (a)), governing: (1) The effective, and efficient design and implementation of Community Connections activities under the FORECAST II IQC; (2) Compliance requirements for participation in Community Connections exchange visitor activities.

3.1.2 Roles and Responsibilities

When the program transitioned from the State Department to USAID stewardship, several key factors were addressed to ensure the continuity of this successful program. One key factor is ensuring that the Washington-based management model of this U.S.-based program be replicated as closely as possible within the USAID operational context. Another key factor in the continued success of the CC program is the close collaboration required between USAID staff and Embassy Public Affairs staff to ensure CC programming is based on current public diplomacy needs. Well defined roles and responsibilities foster the development of these significant inter-agency working relationships over time and will provide a framework for maintaining strong lines of communication.

The administrative design of the Washington based management model of the Program consists of a central management role carried out by USAID/Washington staff with the central implementation role carried out by the Implementing Contractor. Each USAID Mission has a field recruiting office located in-country. The Implementing Contractor supervises the field recruiting office and the USAID Mission provides it with programmatic advice. In the case of Regional Missions, each Country Representative office will also have an in-country recruiting office responsible for recruitment and selection of exchange visitors in that country. Regional Missions are responsible for determining internal approval processes.

3.1.2.1.1 USAID/Washington

The FORECAST COTR in EGAT/ED manages the single task order for CC representing the input from E&E Bureau and all participating missions. The COTR and COTR support staff, utilizing the services of the FORECAST contractor, promotes the CC

“brand” through logo, website, success story development and other public information venues to ensure achievement of the goals of the current, successful CC program. The FORECAST COTR will have general oversight of and accountability for the development of technical requirements of the CC program. Responsibilities of the FORECAST COTR and COTR support staff specific to CC will include: assisting USAID missions and embassies in identifying programmatic needs that are consistent with the public diplomacy goals of CC; monitoring the development of subsequent CC exchange requests; providing approval on all CC exchange requests; ensuring CC funds available to EGAT are monitored and used in accordance with EUR/ACE and EE established country allocations; ensuring all CC exchanges retain core features (as stipulated in the IQC and this amended *FORECAST Practitioner’s Handbook*); monitoring CC programs via ongoing communication with prime contractor and site visits; routinely sharing information and best practices with missions, alumni groups, US host organizations, and others on the web; managing CC program task order; monitoring the FORECAST contractor’s performance related to CC program task order and providing quarterly program report summaries and an annual report.

3.1.2.2 USAID Missions

Missions, in close consultation with Embassies and with input from FORECAST COTR support staff, take the lead in introducing exchange themes and participant profiles, as part of their ongoing Mission HICD Plan (a.k.a. – training plan). CC programming must represent current public diplomacy needs and embassy input, and increasingly development needs when mission funding is involved. Utilizing the services of the implementing contractor provided under the CC regional task order, Missions are also responsible for developing visitor exchange requests (VERFs) for individual CC programs. Missions are responsible for selecting and approving participants. Missions must also approve the U.S. based host organizations and in-country activity providers, based on the recruitment recommendations and limited-competition results of the FORECAST contractor, with the input and approval of FORECAST COTR support staff.

3.1.2.3 U.S. Embassies

Close collaboration between USAID staff and Embassy Public Affairs staff is required to ensure that CC exchanges programming is based on current public diplomacy needs. It is important that the CC program remain a valuable tool for ambassadors and embassies. Though no specific model for this required collaboration is recommended in this handbook, at the very least embassy staff is afforded the opportunity to recommend participant profiles and programmatic themes, and provide input on the selection of participants and hosting organizations. Mission staff work with their embassy counterparts to develop and maintain roles and lines of communication between STATE and USAID, specific to each in-country situation.

3.1.2.4 FORECAST Contractor

FORECAST II provides an innovative regional-specific infrastructure for planning, implementation, and evaluation services for the Community Connections Program. The

FORECAST II (implementing) contractor, with its partner field offices in each participating country, will assist the Mission in developing individual visitor exchange requests (VERFs) and recruit participants for CC programming, based on those themes and participant criteria conveyed by the Mission. The FORECAST II contractor will identify and engage the most appropriate host organization in the U.S. for each CC activity. With offices in each participating USAID country and the U.S., the contractor will provide a full range of implementation services, including: participant processing (medical certification, HAC enrollment, security risk and fraud inquiry, and DS-2019 processing); participant pre-departure orientation; participant tracking and reporting (meeting all Department of Homeland Security and State Department, and USAID requirements). Upon completion of CC programs, the contractor will provide evaluation and reporting services on individual CC programs. Other primary components of the FORECAST II Contractor's role include, providing follow-up via networking structures, and in-country follow-on programs.

3.1.2.5 Host Organizations

Working with U.S. local host organizations is one of the signature features of CC programming. These U.S. host organizations ensure "community connections" in the broadest sense of the term. They design and deliver the exchange program and arrange for homestays, introducing CC participants to U.S. communities and culture.

*The following Community Connections Roles and Responsibilities Chart illustrate the program activity approvals required from each of the parties involved with CC.

Community Connections Roles and Responsibilities Chart

Entity/Activity	EGAT/ED CTO & EGAT/ED Support Staff	FORECAST Contractor	USAID Missions	US Embassies
Development of Themes/Profiles	Monitors; provides feedback to USAID Missions & recruiting organizations	Participates in development of Themes/profiles.	Initiates process, participates in development, and provides <u>final approval</u> of themes & profiles.	Participates in development of themes/profiles. <u>Concurs</u> on final themes & profiles.
Participant Recruitment/Selection	<u>Concurs</u> on final selection of participants to Forecast contractor & Missions.	Initiates process, recruits participants according to USAID Mission HICD/Training plan.	Participates in selection and Provides <u>final approval</u> of list of participants.	Participates in selection of participants.
VERFS	Provides direct input to field offices and provides <u>final approval</u> of VERFs	Assists mission with development of VERF. HQ forwards VERF to CTO.	Initiates process and <u>Approves</u> VERF	
Host Organization Procurement & Selection	Provides <u>final approval</u> of selection of Host Organization.	Initiates process, manages Host Organization procurement process	<u>Approves</u> selection of Host Organization	Participates in selection of Host Organization
Host Organization (HO) Contact	Maintains contact with Host Organizations.	Monitors performance of Host Organizations and maintains regular contact.		
Implementation Services	Monitors Forecast Contractor delivery of services	Initiates process and provides participant processing, participant pre-departure orientation, & participant tracking & monitoring		
VEP	Provides <u>final approval</u> of VEP	Initiates process, prepares VEP and forwards to USAID mission and EGAT CTO	<u>Approves</u> VEP	
Monitoring/Evaluation of CC	Monitors FORECAST Contractor performance including assessment by Embassies and USAID Missions. Monitoring visits to host organizations.	Evaluates CC activities upon completion.		
Checkbooks	Analyzes and <u>concurs</u> on CC country budget activity. Forwards to USAID Missions.	Initiates process, reviews and submits bi-monthly checkbooks		
Administration/Waivers	Provides <u>final approval</u> for Language Verification Waiver, HO Sole Source request, Request to Exceed CONUS, & Allowance Adjustments Request. <u>Concurs</u> on Medical Cert. Waiver		<u>Approves</u> HO sole source request & Language Verification waiver. Provides <u>final approval</u> for waiver of medical certification	

3.2 POLICY AND PROCEDURES

Under USAID management some core features of the ongoing Community Connections (CC) program have been retained, but other features have been modified based on STATE/ECA lessons-learned and the Agency’s own internal operational structures and best practices.

The policies and procedures provided in this handbook chapter are applicable to ALL venues (U.S.-based and in-country) of Community Connections activities, unless otherwise indicated.

Additionally, all USAID staff, implementers, and other individuals involved in the delivery of Community Connections visitor exchange activities are expected to familiarize themselves with Agency directives related to such activities, including ADS 252 and ADS 253, and to apply these directives where required or applicable.

3.2.1 Human and Institutional Capacity Development and Cross-Cutting Activities Plan

Participating Missions must develop a Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan on an ongoing (at least quarterly) basis with additions, deletions, and revisions being made throughout the year – a “living” strategic management tool. A Mission HICD Plan brings together in one place the entire range of a Mission’s HICD activities that would otherwise remain scattered under separate Strategic Objectives Team plans or Bureau strategy plans. Mission HICD Plans consists of the following three (3) required components:

3.2.1(a) Strategic Summary

The strategic summary presents overall strategic considerations. The issues identified in the strategic summary are performance problems or “gaps,” consequences of the intervention, alternatives, and next steps. The strategic summary for CC will identify public diplomacy issues underlying the current program themes and participant profiles.

3.2.1(b) Management Summary Table

The management summary table is a spreadsheet of proposed/approved training events and other interventions, and CC exchange activities. The ongoing revised “checkbook” may fulfill this function.

3.2.1(c) Visitor Exchange Concepts and Request Forms

Visitor Exchange Concepts (VECs) and/or Visitor Exchange Request Forms (VERFs) are used by USAID to request that the contractor implement a specific CC activity. VECs are short descriptions of concepts for specific CC programs that may be drafted far in advance of the actual program when more specific participant profiles, goals, outcomes, and other information about the activity are still unknown. VERFs are the fully developed activity requests sent from USAID to the contractor for a particular CC program. The VEF includes all of the information needed by the contractor to

implement the activity. The VEC, if used by Missions, forms the basis for the VERF. The VERF must be used for each CC program.

3.2.1.1 Accessing the Community Connection Program

Missions access the Community Connections (CC) Program through their Human and Institutional Capacity Development (HICD) and Crosscutting Activities Plan. A separate section, under 4.2 cross-cutting, within Mission HICD Plans must be devoted exclusively to CC programming for both U.S.-based and alumni in-country follow-on exchange activities. Missions closely coordinate with Embassies to identify themes and participant profiles for CC activities, as part of the ongoing development of their HICD Plans. This information is recorded in the Mission HICD Plan in both the strategic summary (see 3.2.1(a)) and individual VECs for each program concept (see 3.2.1(c)).

The themes of CC programming should reflect each embassy's Mission Performance Plan (MPP) goals. The broad public diplomacy goals of the Community Connections program are to contribute to economic and democratic reform and to promote mutual understanding in the participating country. CC provides professional exchange visitor's broad exposure to U.S. society as well as personal connections with Americans and it advances democratic and free-market principles in a region where those principles are still tenuous. This exposure has led to changes in attitudes and the willingness of participants to become more involved in business and civil society. Given continuing and uneven transition in the participating country, the current CC objective of exposing participants to the institutions and challenges of a free market society and their positive assessment of American political, economic, and social institutions through a program of public diplomacy, remains valid.

At the same time, USAID programs are designed to address constraints to economic, democratic, and social transition. While the USAID-managed CC program should form an increased and integral part of USAID Missions' strategies and strategic objectives, addressing broad public diplomacy goals and objectives should remain at the forefront of the new program, and be reflected in Mission HICD Plans. CC programming must respond to current public diplomacy needs, as identified by input from embassy PAOs, including some non-traditional USAID areas such as cultural affairs and fine arts -- taking steps to ensure long-lasting connections between the communities and participants involved in the program.

Within each country, USAID Missions will carry out CC planning with Embassy participation, and USAID/Washington will monitor and actively provide input and concurrence. Missions must determine the approval requirements and roles regarding interagency participation in developing various HICD/Training Plan components pertaining to CC, and record these requirements in their Mission Order for HICD/Training.

USAID/Washington will monitor the annual design and development cycle of CC programming – initiating the process, actively reviewing CC activity designs, and providing technical input and concurrence.

3.2.2 Visitor Exchange Request Form (VERF)

Visitor Exchange Request Forms (VERFs) are requests from USAID to the central training implementation contractor to implement specific CC exchange programs. The compilation of all VERFs is the third component of a Mission HICD Plan (see 3.2.1(c)). Utilizing the services of the central training implementation contractor, USAID/Missions, with input from the embassy and USAID/Washington, develop each CC activity request (which identifies the goals and expected outcomes for a given exchange program and requests the implementing contractor to implement the intervention). As part of the integrated services package of FORECAST, the central training implementation contractor may develop and draft all VERFs on behalf of the respective Mission, with USAID input and with USAID support, or, Missions may provide the central training implementation contractor with completed VERFs for CC activities. The activity manager for CC in the respective Mission must approve each VERF. USAID/Washington will also approve each VERF (ensuring that key characteristics and best-practice features of CC program are maintained across the region).

*The VERF guides the drafter through the necessary elements that make up a sound and well-developed CC exchange request. Necessary elements of the VERF include tying the program to current public diplomacy needs, by presenting the intended results and outcomes, as well as any strategic suggestions for alumni follow-on activity. Estimated costs for the program are also to be included. Other information fields include participant selection criteria, venue, and suggested hosting organization or in-country provider. When developing the VERF, it is important to remember that the exchange visitor's time in the U.S. is not solely dedicated to technical objectives, therefore programs may be technical in nature, but must allow the majority of time for homestay and Experience America activities.

3.2.2(a) Core Programming Features

VERFs must reflect USAID's emphasis on arranging more demanding and sophisticated exchange opportunities for CC participants. However, four core CC programming features must be maintained:

1. Activities will continue to focus on professional group-exchanges for non-English speakers;
2. CC programming must be based on current public diplomacy needs, based on embassy input; non-traditional sectors for USAID such as cultural affairs and fine arts will be included;
3. While there may be field trips, each training group will be based in a single U.S. community managed by a local host organization;
4. CC is designed to create multiple levels of community links; between participants within the same group, between hosts and participants, and between participant communities and host communities. The assumption is that links are created between a specific city in the US and ideally a specific city in a CC country.

State Department utilized this model and under USAID, this model primarily remains the same. Occasionally, there may be themes that require recruitment across a region, but rarely, countrywide. When a program theme is designated for recruitment in 2-4 regions, it can introduce challenges for promoting the program because of the geographic distances involved. However, geographic restriction is not a factor in disapproving a CC program, although large areas covered under a single program should include a thorough discussion and rationale in the VEF.

3.2.2(b) Follow-On Requests

Follow-on activities are events that build on a Community Connections program in the United States. Follow-on is intended to assist participants with the application of newly-acquired knowledge, skills, and attitudes (KSA) and help to facilitate their leadership roles in their professions and communities. Follow-on may also serve as a vehicle for participants to maintain individual and institutional linkages established during their U.S. program.

Follow-on is defined as a broad range of activities conducted after the "main" program event. Activities should be designed to ensure the greatest possible impact from the experience provided during the visit to the US.

Follow-on activities should be designed and incorporated into a Mission's VEC so that alumni activities are part of the overall plan and do not become an afterthought.

The main purpose of follow-on is to:

1. Maintain contact with fellow Community Connections alumni
2. Provide local networking opportunities that build on relationships made during a CC program
3. Provide opportunities for participants to further develop and implement action plans
4. Reinforce Knowledge, Skills, and Attitudes (KSAs) learned during the U.S. program
5. Address post-program barriers
6. Increase the multiplier effect by the transfer of knowledge

Current practice is that 10% of each country's program budget is allocated to follow-on activities. Also IC-VERFs are developed for each follow-on activity.

3.2.2.1 Lead Time

The required minimum lead-time for CC programs is fifteen (15) weeks prior to the departure date and begins once the VEF has received final approval from USAID/Washington. This lead-time requirement must be adhered to regardless of the type of exchange activity, the number of participants, or the type of procurement. The lead-time requirement is a fundamental element for carrying out a sound program.

Appropriate lead time allows participants to participate fully in their program, allows for proper visa processing, and allows the central training implementation contractor the opportunity to ensure full preparation of the program and participants.

An illustrative timeline might include the following:

Week 1: EGAT/Approved VERF assigned to Central Contractor. Central Contractor sends field office Acknowledgement Memo.

Week 2: Central Contractor selects appropriate HO that meets VERF requirements, receives notification of intent from HOs, and sends out CSR.

Week 4: Central Contractor receives response to Capability Statement from HO. Central Contractor writes/sends Recommendation Memo to field office (with a cc to EGAT) with Capability Statement and HO Stage I proposals.

Week 5: Missions sends signed Recommendation Memo to EGAT for approval. EGAT forwards final approved Recommendation Memo to Central Contractor as soon as it is received from the Mission. (CAR requires up to 7 business days to send approval).

Week 6: Central Contractor awards program to selected HO upon receipt of EGAT approval and requests detailed program schedule and budget.

Week 8: HO submits draft program schedule and budget

***Week 7-9** Central Contractor receives visitor applications from the field office.

Week 12: HO submits final program schedule and budget to Central Contractor. VEP is sent to field office for Mission approval (with cc to EGAT). CAR region requires up to 7 business days to send approval.

Week 13: Mission sends signed VEP and VEP budget to EGAT for approval. EGAT forwards final approval to Central Contractor as soon as it is received from Mission.

Week 14: Central Contractor works with field offices and HOs on last minute arrival and program details including finalizing all home-stay placements, programmatic adjustments for cancelled and alternate visitors, and financial payments.

Week 15: Group arrives!

* Central Contractor requests the bio-data preferably by Week 7, but no later than Week 9, so that this information can be sent to the selected HO in time for them to develop the program according to the specific group profile. This information is also necessary to give HOs enough time to make home stay placements.

3.2.2.2 Venue Considerations

Guided by the four broad goals of CC, the majority of CC programs must be U.S.-based. Any in-country, follow-on alumni activities must be strategically planned in conjunction with a corresponding U.S. activity. Third-country venues and technical assistance are not available under the CC program. However, small grants have been approved for the CC program. The overall guidance for a USAID-funded training-related small grant program is provided in the HICD Practitioner's Handbook. As stipulated in the Handbook,

All training-related grants funded by E&E Missions under FORECAST are executed in accordance with ADS and the established E&E Bureau policy and procedures for administering small grants.

The small grants program is designed as follow-on support to participants who have returned to their home country after participating in a USAID CC funded program. Specifically, the grants will support initiatives that benefit a local or professional community through skills transfer, informational exchange, or coalition building. The small grants program objective is to buttress and facilitate the goals and action plans that participants outlined before and during their CC program.

Some examples of possible uses of small grants include developing manuals, organizing conferences/training sessions for peers, attending conferences, software or internet access, or professional consulting services. Please note that it is E&E's policy that small grants are for in-country activities only.

3.2.2.3 Cost Guideline

The CC cost guideline is provided as a management tool for determining cost reasonableness and must be observed.

3.2.2.3(a) U.S.-Based Activities

We anticipate the average cost per participant will be \$7,150, including hosting organization costs, interpretation, daily lodging, and transportation. This per participant average cost guideline for U.S.-based CC programs is being offered at this time as a best practice frame of reference only, not as a ceiling or cap. This cost guideline is based on ongoing analysis of actual costs and will be periodically updated.

3.2.2.3(b) In-Country Activities

No cost guideline is currently offered for in-country activities, due to wide variances in local costs and activity perimeters.

3.2.2.4 Approval Process

After Mission approval, the VERF is forwarded to USAID/Washington. USAID/Washington may return the VERF to the drafter for clarifications or revision.

Once the revisions or clarifications have been completed, USAID/Washington conveys final approval to the Central Contractor for continued processing.

*In order to ensure a fluid and expeditious approval process, draft VERFs may be forwarded to USAID/Washington for review prior to Mission approval. USAID/Washington will provide advice or guidance on the VERF if necessary.

3.2.3 Participant Eligibility and Selection

As part of the integrated services package of FORECAST II, the central training implementation contractor provides recruitment services that will include verification of each candidate's key role in addressing thematic or community needs identified in each VERF and participation on selection panels. The recruitment process may require setting-up temporary recruitment operations in targeted geographic areas. USAID/Washington provides input and concurrence for participant selection, (ensuring that key characteristics and best-practice features of the CC program are maintained across the region). Missions ultimately provide final approval of all exchange visitors participating in CC activities.

3.2.3(a) USAID Grantee or Cooperative Agreement Recipient Staff

USAID grantee or cooperative agreement recipient staff may be eligible to participate in CC programs. These participants may continue to receive salaries during their CC program participation as long as the grant or cooperative agreement authorizes it or if the Mission or Regional Contracting Officer otherwise authorizes it.

3.2.3(b) USAID Contractor Staff

USAID contractor staff are not eligible to participate in CC activities as participants. They may, however, attend CC programs as observers if they fund their own attendance and do NOT use the CC contractor for any logistical assistance. Such observers must be included in pre-departure orientation discussions so that their roles are clearly defined to the entire group. This approach will ensure that observers understand how the program is organized and lessens the chance that the observers might disrupt the program by attempting to change the schedule and/or aspects of the program.

Please note that observers may not travel on a J-1 visa and are not eligible for Health and Accident Coverage (HAC).

***3.2.3(c) Contractor Staff Family Members**

Family members of USAID Contractors and their sub-contractors, including the central training implementation contractor, may participate in CC activities as participants. They are subject to the same policies and procedures as all other CC applicants and must be recruited and selected competitively.

3.2.3(d) Dependents

Dependents may not accompany CC participants on their programs

***3.2.3(e) USAID and STATE Program Alumni**

Under FORECAST, the Mission FORECAST participant training officer must justify nominating individuals who previously participated in USAID-funded training programs. Repeat participants must obtain a new DS 2019 Certification of Participant Eligibility.

3.2.3.1 Participant Application

Based on Mission selection, the central training implementation contractor issues invitations to participants to apply for participation in CC activities. Selected participants are then required to complete a CC application form and submit it to the central training implementation contractor. The form outlines the participant's biographical information, work experience, and the expectations for the CC activity.

All application forms must contain the following language near the applicant's signature line: *Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the activities that I may undertake under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties.*

3.2.3.1(a) Dependent Certification

The dependent certification form is not applicable to the CC program, since dependents cannot accompany CC participants to the U.S.

3.2.4 Certification of Participant Eligibility

In accordance with Departments of State and Homeland Security, regulations and USAID policy, CC participants must enter the U.S. on a J-1 visa (non-immigrant exchange visitor visa) processed under USAID authority. A Certificate of Eligibility Form DS-2019, and other supporting documents, must be submitted to the U.S. consulate in order to apply for a J-1 visa.

Agency policies, as well as supporting procedures and systems, for obtaining a DS-2019 form reflect requirements of the Student and Exchange Visitor Information System (SEVIS). As part of the integrated services package of FORECAST, the central training implementation contractor will provide a full-range of services related to USAID visa compliance for CC participants. In short, in order to obtain a DS-2019 form, information about the perspective participant must be submitted to SEVIS using the USAID Training Information Network (TraiNet), verified and approved using the USAID Visa Compliance System (VCS). The DS-2019 form is generated by SEVIS, signed by an EGAT/ED Responsible Officer, and expeditiously sent to Missions for consulate filing.

3.2.4.1 Security Risk and Fraud Inquiry

In accordance with USAID policy, a Security Risk and Fraud Inquiry must be conducted for each USAID-sponsored exchange visitor. As part of the integrated services package of FORECAST, the central training implementation contractor will provide services and maintain documentation related to this inquiry as specified by each Mission in their Mission Order for HICD [or Participant Training] and in accordance with ADS 252 and other agency directives.

3.2.4.2 Submission of Participant Information

The central training implementation contractor enters all CC exchange visitor data into TraiNet. TraiNet is the single source of all data necessary for obtaining a DS-2019 form for CC exchange visitors in U.S.-based activities. All required information about the prospective participant must be entered into TraiNet at least two weeks to the planned date for filing the DS-2019 form with the consulate.

*CC exchange visitors must be entered into TraiNet under the designation of “trainee”. Additionally, the TraiNet operator must select the project name “CC/[country name]”: (i.e., CC/Russia), which is available in a drop down box feature on TraiNet. The program name should be typed in [Name of Program Activity] i.e., (Community Mobilization for HIV/AIDS Prevention).

3.2.4.3 Verification of Participant Information

All data necessary for obtaining a DS-2019 form, once entered into TraiNet, must be verified by the TraiNet operator’s supervisor, using the USAID Visa Compliance System (VCS).

3.2.4.4 Approval of Participant Selection

For each U.S bound CC participant and each U.S.-based activity, participating Missions must approve all participants and all data necessary for obtaining a DS-2019 form, using the USAID Visa Compliance System (VCS).

3.2.5 Visa Application Consulate Filing

The central training implementation contractor will provide services related to visa application consulate filing as specified by each Mission in their Mission Order for HICD [or Participant Training] and local consulate directives.

3.2.5(a) Two-Year Foreign Residency Requirement

Under terms of the Immigration and Nationality Act, participants of U.S.-based CC activities must reside for a total 24 months in their respective host country before being eligible for H-1 or L-1 non-immigrant visas or for legal permanent residence in the U.S.

3.2.5(b) Employment

CC exchange visitors of U.S.-based programs may not be employed except in connection with an assistantship, on-the-job training, or practical experience that is an integral part of their CC activity. When a salary or stipend is paid, the maintenance allowance must be reduced by the net amount paid.

3.2.5.1 Health and Accident Insurance Coverage

Appropriate Health and Accident Insurance Coverage is required for all CC participants.

3.2.5.1(a) U.S.-Based Activities

HAC Plan C may be used for those individuals traveling under the FORECAST II IQC who are properly categorized as Government Visitors. Government Visitors are influential or distinguished individuals selected by USAID to consult, observe, train, or demonstrate special skills. The Government Visitor category is generally restricted to high-ranking government officials. HAC Plan C is available for Government Visitors traveling to the United States for thirty (30) days or less.

3.2.5.1(b) In-Country Activities

CC exchange visitors in in-country activities are not eligible for HAC coverage. The central training implementation contractor must determine whether specific in-country activities subject USAID to any risk of HAC liability for medical costs incurred by participants, and if so take appropriate steps according to the local situation.

3.2.5.2(a) U.S.-Based Activities

The central training implementation contractor must ensure, for J-visa eligibility, that CC exchange visitors are sufficiently proficient in the English language to fully participate in their CC program before they enter the U.S. The central training implementation contractor is expected to gather information about the level of proficiency although there is no requirement to administer a standardized English language test to participants of CC *professional* programs who travel as a group with an interpreter.

The central training implementation contractor must verify that all CC exchange visitors are able to understand and respond correctly to typical questions asked at the U.S. port of entry using all of the following sample questions that are indicative of what an immigration officer might ask our participants:

- Where are you going?*
- Are you here for pleasure or business?*
- What is the purpose of your travel to the US?*
- Who paid for your trip?*
- Will you receive any compensation while being in the US?*
- Do you plan to work in the US?*

- *Your Last (First) name appears misspelled on DS-2019 Form. Please explain.*
- *The program start date is the day before yesterday. Why are you late?*
- *Why does your birthday appear as 07/08/1961 on your form, and as 08/07/1961 in your passport?*
- *Do you have any relatives in the US? Do you plan to visit them?*

3.2.5.2(b) In-Country Activities (See Participant Action Plans)

3.2.6 Host Organization Selection

One of the cornerstones of the Community Connections Program is the relationship between participants and their host communities. Host Organizations throughout the U.S. experienced in hosting visitor exchange programs facilitate this relationship. The central training implementation contractor procures host organization services based on a pre-determined process of limited competition that, via either a sub-contract or sub-grant of under \$100,000 per program, matches participants or participant groups with the host organization best suited to facilitate the agreed outcomes of the CC program. The central training implementation contractor is responsible for managing the host organization procurement process that is comprised of a first round qualifying phase, followed by a specific program-bidding phase. This process represents a shift from previous procurement processes used by STATE to better align with USAID best practices. The new procurement process encourages participation by all host organizations, creates a database of organizations that have met a minimum standard, and then invites selected organizations to bid on specific programs. **(SEE NEW PROCUREMENT PROCESS AT END OF THIS DOCUMENT.)**

3.2.6.1 Minimum Standard Database

On an annual basis, the central training implementation contractor will invite all host organizations to submit a proposal that details their institutional capabilities and experience which: (1) demonstrates their expertise and community contacts in a range of themes and participant profiles; (2) provides a comprehensive methodology for developing new and managing existing home-stays; (3) illustrates strategies for meaningful exposure to American life and culture; (4) outlines plans to cultivate and/or maintain linkages between their host community and their international counterparts; and, (5) specifically cites and demonstrates ability to provide interpreters, if required for *professional* groups.

All host organizations meeting the minimum standard will be entered and maintained in the central training implementation contractor's minimum standard (MS) database for one year. Host organizations must re-qualify annually for continued inclusion in the MS database. The central training implementation contractor will use only the pool of host organizations in their MS database for the procurement of specific CC exchange programs and will track all procurement activity to ensure that all HOs in the MS database are invited to bid on CC programs.

3.2.6.2 Procurement of Specific CC Programs: 2009 Procurement Process

Upon receipt of a VERF, the Central Contractor will research several options and select the best suited Host Organization (HO). The Central Contractor database of HO capabilities and performance houses real-time data regarding current expertise and performance. The Central Contractor will identify HOs based upon detailed thematic expertise tracked in the 2007 and 2009 HO Theme Capability Surveys, Stage I Proposals, programming of and performance on past CC programs, as well as availability.

1. The Central Contractor will contact the identified HO and discuss the VERF in detail to determine optimum suitability as well as availability. Assuming the Central Contractor is satisfied with HO response and HO is available, the Central Contractor will request a 3-page Capability Statement. If the Central Contractor determines that the HO is unavailable, or if the Central Contractor deems the HO inadequate after discussing the program, the Central Contractor will immediately contact the other options identified during the research process.
2. The Central Contractor will prepare and send a Recommendation Memo to USAID along with the 3-page Capability Statement and Stage I proposal. The Central Contractor's recommendation will provide a thorough justification as to why the HO was initially approached and recommended for selection.
3. USAID may accept the recommendation as is, or request further clarification.
4. USAID missions send signed RecMemo to USAID/EGAT who provides the Central Contractor with final approval. Upon receipt of EGAT approval, the Central Contractor will proceed with the remainder of the procurement process as currently practiced.

3.2.6.2(a) Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisitions and Assistance (OAA) directives, the central training implementation contractor must competitively solicit for specific host organization services related to each CC exchange activity. However, where it has been determined by USAID that host organization services for an event will not be competitively procured, a request for sole source procurement with appropriate justification must be provided in the VERF.

3.2.6.2(b) Program Outline Request (POR)

The central training implementation contractor must obtain capability statements from host organizations for all programs regardless of whether the procurement for the event

is competitive or sole-sourced. The central training implementation contractor is responsible for ensuring the quality of all CC programs implemented and therefore must be in a position to negotiate with and provide technical input to the host organization through the program outline review process. Because the host organizations included in the central training implementation contractor's MS database are pre-qualified, capability statements will be streamlined and specific to a particular CC program. The capability statements consist of the organization's specific abilities to meet the stated theme.

3.2.6.3 Selection and Documentation

The required documentation for the procurement of Host Organization is determined by the mode of procurement utilized.

3.2.6.3(a) Recommendation and Selection Memo

Once potential host organizations submit a Capability Statement for a specific CC program, the central training implementation contractor will review the submissions according to established criteria in the Capability Statement Request. Based on the principles of best value, the implementing contractor will recommend the host organization to USAID in a Recommendation Memo. The central training implementation contractor will prepare the Recommendation Memo and send it to their CC field office. The CC field office will then forward the documents to the USAID Mission. After Mission approval, the Recommendation Memo will be forwarded to USAID/Washington for final approval. The Recommendation Memo and Program Outlines should also include a budget for the activity. The Recommendation Memo also provides Mission approval for any costs exceeding cost guidelines estimated in the VEF budget.

*All Program Outlines are shared with USAID/Washington and the USAID Mission CC activity manager, along with the contractor's recommendation for selection. The USAID Mission and USAID/Washington make the final selection of host organizations. Selection will be based on quality and best-value, and need not be determined solely based on cost. USAID need not choose the central training implementation contractor's recommended host organization. The USAID Mission and USAID/Washington are required to sign the Recommendation Memo indicating either approval of the recommended host organization or indicating the selection of another solicited host organization.

3.2.6.3(b) Sole Source Justification

In those instances where USAID has requested a sole source procurement with a specific host organization, the central training implementation contractor will prepare appropriate documentation for sole source award, citing the justification used by USAID. Such documentation should be included in the VEF (in the comments section). If USAID approval has not been obtained through the VEF or VEC, a separate sole source memo is required. USAID/Washington (ensuring that key characteristics and

best-practice features of the CC program are maintained across the region) and USAID Mission CC activity manager are required to sign documentation justifying their sole source selection.

3.2.7 Visitor Exchange Plan (VEP)

Host organizations, or in the case of follow-on in-country activities, in-country providers, finalize the design of the CC activity, in consultation with the implementing contractor, USAID/Washington and the USAID Mission CC activity manager. The central training implementation contractor must prepare a Visitor Exchange Plan (VEP) for all CC activities as soon as they are notified of USAID selection of the host organization or in-country provider. The central training implementation contractor forwards this document to USAID/Washington and to the field office that in turn forwards it to the Mission CC Activity Manager. The Mission approves the final VEP by signing the VEP budget page. USAID/Washington provides the final approval and forwards the approved VEP to the central training implementation contractor.

The VEP contains all detailed final information about how the CC program is to be carried-out. Required elements of a VEP include the following:

- name of program;
- names of participants;
- name of host organization or in-country provider;
- program theme or subject matter;
- program dates;
- program objectives;
- itinerary including day-to-day description of activity;
- all logistical arrangements, including travel and lodging arrangements with corresponding daily costs; and
- VEP Budget

If, in the course of program implementation, costs unexpectedly exceed the values indicated on the VEP by 10%, the implementing contractor must secure USAID approval.

3.2.7.1 Participant International Travel Arrangements

Where USAID and the host country have agreements that stipulate that host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure (including incidental costs), USAID sponsoring units may wish to obtain either a country-wide or a program-specific waiver to allow USAID funding these arrangements. The waiver must be kept on file. Possession of the waiver must be reflected in the Mission Order for HICD and Participant Training.

3.2.7.2 Participant Lodging Arrangements

Appropriate participant lodging arrangements are required for all CC participants, regardless of program venue (U.S.-based or in-country). CC participants are placed in homestays for the majority of their stay in the U.S. Participants may stay in hotels for the first few days of a program and during field trips. The VEP must clearly indicate each city and the corresponding daily lodging rate(s).

3.2.7.2(a) U.S.-Based

The central training implementation contractor must ensure that when CC participants are placed in hotels that they are housed in double-occupancy rooms, when feasible. The costs of daily hotel lodging must not exceed the U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates as established by the General Services Administration (GSA). Double-occupancy lodging cost per participant should be significantly below these prescribed rates, which are based on single occupancy.

To assist USAID with its efforts to contain costs, the central training implementation contractor must make every effort to secure participant lodging at below CONUS rates. If circumstances force the lodging costs to exceed the maximum rate allowed by CONUS, justification and USAID approval must be documented by the implementing contractor.

If USAID determines that the double occupancy requirement be waived, documentation of the Mission waiver may be provided via the approved VEP, VEP, or other conveying document.

3.2.7.2(b) In-Country

Sponsoring units or implementers, must ensure that participants in short-term activities (under six months) taking place at third-country (**not applicable to CC**) and in-country sites are housed in double-occupancy accommodation not exceeding maximum lodging rates. The recommended lodging rate maybe based on sponsoring unit or implementer knowledge of local circumstances. The costs of daily lodging must not exceed the Standardized U.S. Government Federal Travel Regulations (GTR) (i.e., standard per Diem rates), as established by the General Services Administration (GSA). Double-occupancy lodging cost per participant should be significantly below these prescribed rates, which are based on single occupancy.

USAID may waive either the double-occupancy or maximum lodging rates requirements, on a case-by-case basis due to specific circumstances. Such waiver text should be included in a document that already requires USAID approval (i.e., VEP, VEP, etc.), and can be prepared by the implementer, as designated. No separate, additional document is required.

3.2.7.3 Participant Maintenance Allowances

The implementing contractor must not pay participants more than the prescribed allowance rate, and must not pay the prescribed allowance rate in full without cause.

The COTR must make all final determinations regarding allowance adjustments. Such determinations must include written authorization for a higher rate, owing to individual circumstances.

3.2.7.3(a) Rates for U.S.-Based Activities

CC participants receive a standard \$30/day allowance for incidental program needs. Lodging and all other expenses are handled by the implementing contractor in compliance with U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates established by the General Services Administration.

3.2.7.3(b) Rates for In-Country Activities

Allowance rates for CC exchange visitors in activities taking place at in-country sites must be based on the central training implementation's or USAID Missions' knowledge of local circumstances. However, the prescribed allowance rates for these participants must not exceed the M&IE rates as established by the Standardized U.S. Government Federal Travel Regulations (GTR) (i.e., standard per diem rates), as established by the General Services Administration (GSA).

3.2.7.4 Arrange for Interpreters

An interpreter must be arranged for all non-English speaking CC professional groups participating in a program in the U.S. or as otherwise specified in an approved VERF or VEP.

3.2.8 Pre-Departure Orientation and Preparation

Pre-departure orientation and preparation is an integral component of participant processing. Appropriate pre-departure orientation and preparation is required for all USAID-sponsored participants, regardless of activity venue (U.S.-based, in-country).

3.2.8.1 Orientation and Preparation for U.S.-Based Activities

Full pre-departure orientation for participants of U.S.-based activities is a J-visa eligibility requirement.

3.2.8.1(a) Orientation

Sponsoring units (or implementers, as designated) must meet with U.S. bound participants prior to departure to provide orientation on the travel schedule, the goals of the activity, conditions of sponsorship, administrative details, and American culture and practices.

3.2.8.1(b) Objective Memo

Before departure, each participant must sign an Objectives Memo that is prepared and provided by the central training implementation contractor. The memo outlines what the exchange visitor program is intended to achieve and emphasizes certain USAID policies that must be adhered to throughout the duration of the program. It is important for participants to acknowledge in writing all program policies, goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement. The following policy language must be included in each Objectives Memo, in addition to the language pertaining to program activities

- I understand that there is no personal travel allowed outside of the approved program arranged by the central contractor and the US Hosting Organization. No exceptions will be made to this rule.
- I understand I must return home immediately upon completion of the Community Connections Program.
- I understand that I am not authorized to operate a motor vehicle during my stay in the United States.
- I understand that I must participate in all program activities as scheduled.
- I understand that failure to comply with the above policies may be cause for program termination.

3.2.8.1(c) Conditions of Sponsorship

Before departure, each participant must also sign a Conditions of Sponsorship for J1 Visa Holders (AID form 1381-6) provided by the central training implementation contractor

3.2.8.1(d) Participant Action Plans

Action Plans are required for CC participants, unless otherwise stipulated by USAID. Action planning is a key element in motivating participants to think about how the outcomes of their exchange activity will be used when they return to their home country. Action Plans may be developed with input from the host organization or other participants over the course of the activity. They help establish clear goals and anticipated applications. A preliminary action plan must be drawn up before participants' departure, but it will evolve during the course of the exchange program.

3.2.8.2 Orientation and Preparation for In-Country Activities

The central training implementation contractor must meet or otherwise communicate with participants of in-country activities prior to the start of each activity to provide orientation on schedule, goals, and administrative details.

3.2.8.2(a) Objectives Memo

The objectives memo may be used in lieu of the stakeholder agreement.

3.2.8.2(b) Participant Action Plans

Participant Action Plans are not required for CC in-country activities of less than 5 days duration.

3.2.9 Tracking U.S.-Based Participants

The vital importance to the United States Government of tracking international students and other Exchange Visitors enrolled in U.S.-based activities is indicated in the Enhanced Border Security and Visa Entry Reform Act of 2002. The Department of Homeland Security, Immigration and Customs Enforcement (ICE), and Department of State, through the Student and Exchange Visitor Information System (SEVIS), manage the issuance of J-1 and J-2 visas, track students and Exchange Visitors, and monitor information relative to each Exchange Visitor.

Agency policies, as well as supporting procedures and systems, for tracking USAID-sponsored participants reflect SEVIS these requirements: (1) The implementing contractor must track the whereabouts of CC participants at all times while they are in the United States and current contact information must be provided to the COTR at any time upon request; and, (2) The central training implementation contractor is also responsible for tracking CC participants for timely return to their business or professional settings in their home countries.

CC exchange visitors must not arrive in the US more than one day before the program start date and must depart within one day of program completion.

3.2.9.1 Participant Status Changes – Via TraiNet and VCS

Throughout a participant's stay in the United States, the central training implementation contractor must transmit changes in a participant's status to an EGAT/ED Responsible Officer.

The following must be transmitted to the EGAT/ED Responsible Officer by entering the changes in participant status into USAID's Training Information Network (TraiNet), and verifying and approving the information using the USAID Visa Compliance System (VCS):

3.2.9.1(a) Participant Validation

Within the time period specified in ADS 252, the central training implementation contractor must provide validation that each participant has begun his or her activity. If validation is not received as prescribed, an EGAT/ED Responsible Officer will report the participant to SEVIS in a 'no show' status.

3.2.9.1(b) Participant Biographical Data Updates

During the course of a participant's activity, the central training implementation contractor as required in ADS 252 must update any changes in the participant's bio-data.

3.2.9.2 Participant Status Changes – Via Written Notification

The following other information must be transmitted to the EGAT/ED Responsible Officer in writing:

3.2.9.2(a) Non-Returnees

The central training implementation contractor must track the departure status of CC exchange visitors, and must inform the COTR and the EGAT/ED Responsible Officer in writing immediately if a participant becomes a non-returnee. The central training implementation contractor will also inform the COTR and EGAT/ED Responsible Officer if a non-returnee is found to have returned to their home country at any time thereafter.

Efforts to reduce non-returnee rates must be continuous and focused on the planning, design, participant selection, and progress monitoring as well as on tracking participants' post-activity whereabouts.

3.2.10 Monitoring U.S.-Based Participants

The central training implementation contractor must monitor each exchange visitor's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

3.2.10.1 Minimum Requirements for Active Monitoring

At a minimum, monitoring must include assurances that:

- ❑ The exchange visitor has arrived and settled into appropriate living quarters;
- ❑ The training meets both the technical and cost requirements of the approved Visitor Exchange Plan (VEP);
- ❑ The exchange visitor is enrolled in a full course of study if in an academic training or is regularly attending scheduled activities and/or sessions of a technical training activity;
- ❑ Adequate levels of achievement are being met;
- ❑ No serious personal or health problems develop which impair the successful completion of the activity;
- ❑ The participant continues to have a valid passport, J-visa, and Certificate of Eligibility Form DS-2019;

- ❑ Departure arrangements are made upon completion or termination of the activity, and the COTR and appropriate USAID Mission are informed of the arrangements;
- ❑ The exchange visitor is returned to his or her home-country workplace or professional setting, so as to maximize the outcomes of the exchange program.

3.2.10.2 Minimum Requirements for Documentation

The central training implementation contractor must keep relevant documentation on file pertaining to CC participants and CC activities, including:

- ❑ VECs and VERFs
- ❑ nomination/participant selection documentation
- ❑ participants' bio-data information
- ❑ face page of participants' passports
- ❑ participant security risk assessment documentation
- ❑ medical clearance confirmations
- ❑ signed stakeholder/training agreements
- ❑ signed conditions of sponsorship forms
- ❑ VEPs
- ❑ pre-departure orientation checklists
- ❑ participant tracking documentation
- ❑ all other documentation/correspondence related to visa compliance, including a black and white copy of the participants stamped DS-2019

3.2.11 Evaluation

Evaluating the efficiency of each CC activity component, and the effectiveness of the investment in promoting overall goals of the CC Program are prime components of the central training implementation contractor's role. These findings may be used to modify and improve ongoing or successive planning cycles.

3.2.11.1 Exit Questionnaire

At the end of every U.S.-based CC program, the central training implementation contractor is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide USAID with feedback on the quality of the exchange activity and the likeliness of participants maximizing the outcomes of their programs. The exit questionnaires are critical for the implementing contractor's self-evaluation of their implementation and management of the activity. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be

used to modify and improve ongoing or successive programming cycles, especially with regard to the design of follow-up activity requests

3.2.11.2 Post-Activity Interviews

Interviewing training participants 6-9 months after completion of U.S.-based training programs is a best practice. USAID/Washington will analyze and report on all CC program evaluation data.

3.2.12 Reporting

The central training implementation contractor is responsible for reporting certain participant information to USAID and other U.S.G. agencies in accordance with USAID directives.

3.2.12.1 Participant and Activity Data

The central training implementation contractor must use USAID's Training Information Network (TraiNet) to report required information regarding CC participants and activities to USAID, as instructed in agency directives and guidance. This data is used for answering Congressional inquiries and reporting on USAID activities.

3.2.12.2 Participant Taxes

All CC exchange visitors of U.S.-based activities are subject to the IRS requirement of filing U.S. tax returns, whether or not tax payments are due. The central training implementation contractor and CC exchange visitors must ensure all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations, including USAID directives.

CC Appendix

FOLLOW-ON GUIDELINES: ILLUSTRATIVE FOLLOW-ON ACTIVITIES

Follow-on activities may be as simple as providing a returned participant with the name and contact information of other professionals working in his field or as elaborate as awarding small grants to returned participants. Follow-on activities/events might include (but are not limited to):

- disseminating welcome-back packets
- organizing theme-based conferences
- conducting program debriefings
- hosting award ceremonies
- involving alumni PDOs
- developing and maintaining an alumni webpage to house alumni directories, success stories, and photo galleries
- producing E-newsletters/video conferences, and other on-line communication networks/listservs
- establishing professional work groups or alumni associations
- providing in-country technical seminars/assistance
- conducting cross-border conferences/events
- designing/implementing general skills-building seminars in management, computers, basic financial management, and leadership
- holding contests and community fairs
- arranging short-term consulting services
- involving host organizations in follow-on activities
- administering small grants

DELIVERY OF FOLLOW-ON ALUMNI ACTIVITIES

The implementer subcontractor is responsible for all aspects of the development and implementation of the follow-on program including IC-VERF development, procurement, logistical services, monitoring and evaluation.

The funding for follow-on alumni activities comes out of the country training *program* allocations, not the sub-contractor administrative budget. Therefore, the implementer sub-contractor cannot provide or charge administrative fees for follow-on alumni services.

In some cases, there may be a USAID-funded TA Contractor on the ground that is prepared to develop the follow-on activity. In all cases, the implementation of follow-on alumni activities with FORECAST/CC funds must adhere to and respect the USAID guidelines per ADS 253. The sub-contractors must follow carefully the USAID guidelines for in-country training (ICT) procurement found in the EGAT/ED *HICD Practitioner's Handbook*, which describes the regulations for competitive procurement, non-competitive procurement, and sole sourcing.

IMPLEMENTATION STEPS

1. Visitor Exchange Concept (VEC):

Any Community Connections follow-on alumni activity should be strategically planned and included in the Mission's annual VEC (training plan).

2. In-Country Visitor Exchange Request Form (In-Country VERF):

Typically the implementer sub-contractor and USAID country missions will discuss the follow-on objectives already established in the VEC. These objectives are then further developed into an IC-VERF. As with US CC activities, the VERF can be completed by the USAID Mission or by the sub-contractor. It is then signed by the USAID Mission and forwarded to the central contractor/DC and USAID-EGAT/ED for their files, at least one month prior to implementation.

3. Procurement for CC follow-on alumni activities:

As per the HICD Practitioner's Handbook, in-country activities, including logistical services, must be outsourced and procured through limited competition for anything over \$2,500.

Anything less than \$2,500 can be implemented by the implementer sub-contractor without outsourcing.

Procurement for follow-on activities can be distinguished in two main categories: procurement with an organization and procurement with individuals (consultants/trainers).

A. Procurement with an organization

Two scenarios are possible when procurement leads to identifying an organization/institution that will act as the training provider and/or logistics provider. The first possibility is to organize a bid. The implementer sub-contractor carries out this procurement. A Scope of Work should be developed with the information contained in the IC-VERF. The SOW is then marketed to potential providers as identified by USAID or the implementer sub-contractor based on local market knowledge. The second scenario is engaging in non-competitive procurement or sole sourcing a provider as per the *HICD Practitioner's Handbook*. In this case, the justification for non-competitive procurement or sole source should be included in the IC-VERF to reduce the need for additional written mission approvals.

The *HICD Practitioner's Handbook* allows the following justifications for **non-competitive** procurement:

- (1) the event is part of an ongoing series of activities that has already been competitively procured;
- (2) the event is part of on-going technical assistance activity in-country; or
- (3) the provider will charge no fees for the training (direct cost for materials and facilities may be charged).

The financial and contractual tool for contracting with an institution recruited in the region is the **Financial Certification** (sample template attached). This contractual tool used with host country nationals must first be vetted by the Mission's Contracts Office to make sure that it is based on the specific country's legal requirements. Implementer sub-contractors should edit the document according to local law.

B. Procurement with Individual Consultants/Trainers:

In cases where the implementer sub-contractor is hiring an individual(s) to act as a trainer/presenter, bidding is not required. However, the implementer sub-contractor should still conduct market research to ensure the individual trainer(s) recommended compares favorably to the alternatives the market offers in terms of qualification and remuneration. The selected individual(s) should be approved by USAID. In case USAID recommends an individual trainer and the implementer subcontractor identifies a provider with comparable qualifications but at a lower cost, the implementer sub-contractor should notify USAID of the options and keep USAID's final decision on file.

A **Scope of Work (SOW)** is a helpful tool in describing the concept of the follow-on activity to potential providers and, hence, in trainer recruitment and the agenda development. SOWs are developed by the implementer sub-contractor using the information provided in the IC-VERF and with any additional input from USAID. Running the SOW through USAID helps ensure that there is common understanding of the trainer responsibilities. The contractual tool used with host country and third country nationals is based on the specific country's legal requirements.

If the trainer is a US citizen, the implementer sub-contractor may negotiate and execute agreements with US citizen independent contractors, but all direct payments to US citizens must originate from the sub-contractors home organization in the US for income

tax purposes. (Note that field offices may make payments to vendors such as hotels on behalf of the consultant, and in these cases the vendor payments would not be included in the consultant's budget).

When the services of individual trainers/consultants are procured, the implementer sub-contractor will use a Financial Certification or a Letter of Agreement. Host country or third country national consultants identified as providers within your country should be contracted per local labor laws.

Roles and Responsibilities

Implementer Sub-Contractor Responsibilities:

The implementer sub-contractor is responsible for entering and updating all of the follow-on alumni activity information into **TraiNet**. Once the activity is entered in **TraiNet** the event will appear on the Country Monthly Checkbook generated from Central contractor/DC.

When the implementer sub-contractor procures providers, all of the above described procedures have to take place, including IC-VEC and VEP development, market research, Recommendation Memo to USAID on provider selection, contracting with local providers and external service providers, VEP, and VEP budget development. The sub-contractor is also responsible for all programming, monitoring, and reporting of a follow-on event.

4. USAID Review and Approval Process

The USAID Mission must approve the In-Country VERFs for all follow-on alumni activities, approve provider/trainer selection based on the implementer sub-contractor recommendations, and approve the IC-VEP and IC-VEP Budget. No payments should be made prior to USAID VEP Budget approval.