

UNCLASSIFIED

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

EL SALVADOR

**PROJECT PAPER**

HUMAN CAPACITY DEVELOPMENT

AID/LAC/P-946

PROJECT NUMBER 519-0432

UNCLASSIFIED

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AGENCY FOR INTERNATIONAL DEVELOPMENT  
UNITED STATES OF AMERICA A I D MISSION  
TO EL SALVADOR  
C/O AMERICAN EMBASSY  
SAN SALVADOR EL SALVADOR C A

ACTION MEMORANDUM FOR THE MISSION DIRECTOR

TO Kenneth Ellis, DIR  
FROM Mary Ott, S O #1 *Mary C Ott*  
SUBJECT Approval of the New Human Capacity Development Activity, Number 519-0432, under the Education and Training Results Package

**I Action**

You are requested to approve the Human Capacity Development Activity, Number 519-0432, and authorize the use of \$4,000,000 00 for core funding and \$1,700,000 00 contributions from Strategic Objective No 1, for a total of \$5,700,000 00, for an expected duration of five and one-half years, through the year 2002

**II. Background**

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

In May 1996, in a consultation with the Deputy Mission Director in reference to an end-of-project evaluation of CLASP, the Education/Training Results Team was directed to focus the effort towards future training in the reengineering context. The reason was that the Mission had already obtained good and successful results from CLASP training through a) ongoing monitoring and evaluation carried out by an Analysis Team built in the Project, b) Mid-term evaluation completed in 1993, c) Mission wide analysis conducted by a three-member USAID/Washington and Aguirre Team that demonstrated the high impact of CLASP training which constituted the basis for the development of the Mission Training Strategy in 1994

Following the Mission's guidance in this respect, the

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Education/Training RP conducted a retreat on the new Human Capacity Development and its contribution to SOs/RPs, interviewed SO/RP team members to learn about their needs, this was followed by input and technical assistance from G/HCD. The last step for the development of the new activity was a consultancy by a two-member HERNS team in October-November 1996 that included a comprehensive consultation and customer assessment process with customers, partners, technical assistance contractors, extended team members, and all Mission's SOs/RPs, which resulted in a proposal for the new activity. Further, discussions made during the Mission's review of the Education/Training Results Package document in early May 1997, led to additional modification of the HCD New Activity Document (NAD)

### III Discussion

The purpose of the new activity is to institutionalize the reengineered training strategy and lessons learned from the CLASP Project across all SOs/RPs with special attention to rural customers, selected model municipalities, partners, GOES/NGO counterparts, and technical assistance contractors. The activity will also coordinate the training activities for all Strategic Objective and Results Package teams, providing support in planning, implementation, monitoring, and follow-on activities to ensure that the training contributes to institutional performance improvements and subsequently to achievement of impact-oriented results. Training will be provided to a critical mass of change agents and decision-makers from participating institutions aimed at decentralization of development services.

The new HCD activity will be implemented over a five and one-half year period, beginning in the fourth quarter of FY-97. The activity will be managed under Strategic Objective 1 - Expanded access and economic opportunity for El Salvador's rural poor - and in support of Intermediate Result No. 1 - Better educated and trained rural residents - under the Education and Training Results Package, with the USAID Training Unit responsible for the operational and administrative functions of the activity.

The HCD activity will have three implementation components: (1) Advisory/Coordination Services for customers, GOES/NGO counterparts, partners, Extended Team members, and SO/RP teams, (2) integrated services for trainees, and (3) training on cross-cutting topics for trainees of all SO/RPs. It will include three units of implementation: (a) the USAID Training Unit, (b) a U.S. training contractor (one of the five GTD - Global Training for Development - contractors), and (c) one or more local training firms sub-contracted by the GTD contractor, as needed.

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Summary of Implementation, Management, and Funding			
Activity Component	Customer	Implementation/ Management	Funding
1 <i>Advisory/Coordination Services</i> (a) advisory services (b) workshops for high impact training, gender awareness, and rural focus (c) information dissemination and coordination	Customers, GOES/NGO counterparts, partners, Extended Team members, SO/RP teams	(a-b) Delivery Order with GTD contractor (c) Training Unit	(a) Core funds (b) Core funds (c) Core funds
2 <i>Integrated Services</i> (a) pre-training services/support (b) technical/academic training design, placement and monitoring) (c) post-training services/support	Trainees	(a) Training Unit (b) Delivery Order/GTD contractor (c) GTD sub-contract w/ local trng institution(s)	(a) Core funds (b) Contributions from SO/RPs (c) Core funds
3 <i>Training on Cross-Cutting Topics</i> (a) leadership skills (b) Continuing education	Trainees	(a-b) GTD sub-contract with local training institution(s)	(a) Core funds (b) Core funds (contribution potential)
Other (e g evaluation)			Core funds

Participating institutions establish their counterpart contributions in two ways (a) salaries of trainees during the duration of the training program and coverage of international participant travel, if applicable, and (b) their counterpart contributions covering other aspects are routinely reported to corresponding USAID Results Packages

The Human Capacity Development Activity will follow the requirements of Automated Directive Systems (ADS) Chapter 253 - Training for Development Impact

#### IV Mission Review

##### Issue No 1

"Is the NAD, as proposed, the most feasible way to ensure that training is sustainable?"

##### Resolution

Yes, this mechanism ensures implementation of reengineering guidelines for a training that contributes to improvement of institutional performance and achievement of impact-oriented results

### Issue No 2

"The new activity contemplates contributions from SO/RPs on an annual basis. As this is a new approach, the issue concerns what assurances the Mission has for the level of annual contributions from SOs and what will be the mechanics of these annual contributions?"

### Resolution

All SOs should channel their training through the new HCD activity

(a) For training-related incremental funding of on-going activities, a transition plan will be developed by SO1/RP1 in coordination with Activity Managers, the Controllers Office (CONT), Office of Contracts and Grants (OCG), and the Strategic Development Office (SDO)

(b) New Activity Description (NAD) documents should indicate how the training component of new activities will be channeled through and coordinated with the HCD Activity

(c) Funds from SOs to HCD for training activities will be provided, on an annual basis, through MAARDS following NMS procedures, to issue Delivery Orders for a GTD contractor to implement training activities from different SOs/RPs

(d) GTD contractor and the Training Unit will keep close record of funds received and expended from each SO/RP, which in turn will decide the use of residual savings

### Issue No 3

"The activity envisions counterpart funds from (a) salaries of participants, and (b) most of international travel to be contributed by the participating GOES institutions and NGOs. Is it reasonable to expect small NGOs and rural customers to pay the cost of international travel?"

### Resolution

Contributions are required from all NGOs. In case of international travel for rural customers or representatives from small NGOs, waivers will be considered only for true exceptions

### Comment

"The new activity seeks to continue and enhance the quality control and standardization of training activities to increase effectiveness and achievement of impact-oriented results as its predecessor CLASP Project. Therefore, the implementation of this NAD, must be according to ADS 253 for reengineering. This is to ensure that participants fully utilize their training experience in their respective jobs or professions and contribute to improvement of institutional performance."

### Resolution

Mission supports the policy that all SOs/RPs should adhere to training under reengineered guidelines and sound strategic planning for their training activities. Therefore, a clear distinction must be made between training activities and invitational travel events. The Training Unit will be

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incorporated into the clearance process for waivers for  
invitational travel

**Other Agreements**

(a) The Training Unit's role is to facilitate, support, and  
serve training activities Mission-wide

(b) Modified training mechanisms will be reflected in the  
Mission's Operations Manual (MOM) update to be completed in the  
first quarter of FY-98

(c) The Training Unit staff will work closely with all Mission  
SOs/RPs, CONT, OCG, and SDO to prepare the transition plan for  
on-going activities and the strategic plan for new activities

(d) While the Mission's intention is to reduce the number of  
training providers/contractors in keeping with ADS 253  
guidelines, this reduction will be done gradually and in a  
planned fashion, with minimum disruption of on-going contractual  
agreements

**V Authority**

Under Delegation of Authority dated April 17, 1996 (ADS 103) you  
have the authority to negotiate, execute, amend and implement  
strategic support and special objective grants, loans, memoranda  
of understanding, and other implementing and ancillary agreements  
so long as these actions do not present significant policy  
issues, require issuance of waivers that may only be approved by  
the Administrator or Assistant Administrator None of these  
constraints applies to this request

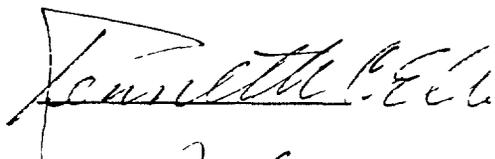
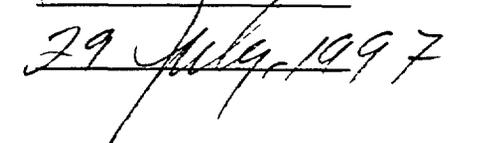
**VI Recommendation**

That, by signing below, you approve the new Human Capacity  
Development Activity, Number 519-0432, and authorize the use of  
\$4,000,000 00 for core funding and \$1,700,000 00 contributions  
from Strategic Objective No 1, for a total of \$5,700,000 00 for  
an expected duration of five and one-half years, under Strategic  
Objective No 1, Results Package 1 This cross-cutting activity  
will also contribute to all SOs/RPs and to the Mission's overall  
strategy

Approved

Disapproved

Date

Attachment Human Capacity Development Document

Action Memorandum for the New Activity Document (NAD) for the Human Capacity Development (HCD) activity

Drafted J de Torres, SO1/E&T

Clearances

SO1/E&T RGavidia  
SO1/E&T SGrant  
SO1 Mott  
SO2 DKennedy-Iraheta  
A/SO3 MSinnitt  
SO4 PGore  
SSO <sup>of Alameda</sup> TCornick  
OCG LPizarro  
A/CONT TPutscher  
SDO PKranstover  
DDIR DMcFarland

*[Handwritten signatures and dates]*  
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June 30, 1997

**Office of the Controller**  
**REVIEWED**  
*[Signature]* 7/14/97  
DATE *[Signature]* 7/14

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- 1 -

Strategic Objective No 1  
Expanded Access and Economic Opportunity  
for El Salvador's Rural Poor

Results Package No 1.  
Education and Training

Activity  
Human Capacity Development (HCD)

**INTRODUCTION**

This new activity document outlines the basic structure and implementation mechanisms for a proposed activity in support of Strategic Objective No 1 - Expanded access and economic opportunity for El Salvador's rural poor - and in support of Intermediate Result No 1 - Better educated and trained rural residents - under the Education and Training Results Package. The new HCD activity has been designed to be implementation unit for all USAID funded training activities in support of Mission Strategic Objectives (SOs), multiple Intermediate Results (IRs) and Results Packages (RPs)

The basic outline of the new activity document is as follows

- Problem Statement
- Purpose Statement
- Relationship to USAID/El Salvador's Strategy
- Proposed Intervention
- Analytical/Consultation Process
- Conditions Precedent and/or Covenants
- Implementation/Management Plan
- Financial Plan
- Performance Monitoring Plan
- Annexes
  - A Results Framework for Mission Strategic Objectives
  - B List of GTD Contractors
  - C Summary of Current and Future Training Needs
  - D Description of Integrated Services to be provided
  - E Rationale for Activities under Implementation Components
  - F Lessons Learned for CLASP
  - G Bibliography
  - H List of People Interviewed
  - I Demand Survey Instrument
  - J Local Institutions Visited
  - K Functions of the Training Unit Members
  - L Country and Assistance Checklist
  - M Congressional Notification
  - N Initial Environmental Examination
  - O Feasibility Analysis
  - P List of Acronyms

## I PROBLEM STATEMENT

Over the past ten years, USAID has trained more than 3,359 Salvadorans through the CAPS<sup>1</sup> and CLASP<sup>2</sup> projects and 2,253 under the Thomas Jefferson Fellowship Program (Participant Training Program). Valuable lessons were learned from CAPS, CLASP and other USAID training programs, principally focused on the best ways to *implement* excellent training, which have been recognized as part of the reengineered training standards. Further, CLASP training, with the addition of supplemental training and pre- and post-training support, was found to be nearly fifty percent less expensive, on average, than traditional participant training (Table No. 1).

With the end of CLASP training activities in June 1997 (PACD is December 1997), the Mission has the opportunity to build upon and incorporate the lessons learned from CAPS, CLASP and other USAID training programs into a unified system to support all Strategic Objectives.

With USAID reengineering, the Mission must go beyond *implementing* excellent training to *planning* for the strategic use of training which focuses on individual and institutional performance improvement. This requires a new approach to training, one that shifts from a focus on training as an input to one that focuses on the contribution training makes to achieving results, ensuring that the SO teams are able to use the "total learning experience" in their own training programs. The new mechanism will allow SO teams to keep pace with changes in the training industry and will support SO teams to achieve a high level of excellence in training impact and cost-effectiveness.

## II PURPOSE STATEMENT

The purpose of the new HCD activity is to institutionalize the reengineered training strategy and lessons learned from CLASP Project across all SOs/RPs with special attention to rural customers, selected model municipalities, partners, GOES/NGO counterparts, and technical assistance contractors. The activity will also coordinate the training activities for all Strategic Objective and Results Package teams, providing support in planning, implementation, monitoring, and follow-on activities to ensure that the training contributes to institutional performance improvements and subsequently to achievement of impact-oriented results. Training will be provided to a critical mass of change agents and decision-makers from participating institutions aimed

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<sup>1</sup> CAPS Central American Peace Scholarship Program

<sup>2</sup> CLASP Caribbean and Latin American Scholarship Program

at decentralization of development services

The HCD activity will devote special attention and resources to support training activities in four model municipalities to be identified by the Mission, in coordination with participating SO/RPs

### III RELATIONSHIP TO USAID/EL SALVADOR STRATEGY

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

A major constraint in achieving these objectives is that institutions--both public and private, local and national--need to be more efficient and productive. Several Results Packages and activities are providing technical and management training for leaders in their corresponding sectors. However, the new HCD activity offers a Mission-wide mechanism to more completely and consistently address the deficiencies of the human resources already in place. The activity will aim to improve institutional performance that contributes to achieving SOs and to realizing the Mission's overall strategy across all sectors. It will also support SO/RP teams in strengthening of the commitment of the Government of El Salvador (GOES) and non-governmental institutions (NGOs) to actively participate and contribute to the sustainability of the Mission Strategic Objectives for the development of El Salvador.

### IV. PROPOSED INTERVENTION

#### a Introduction

The activity will coordinate training to overcome human resource constraints in public and private institutions, which seriously impede the attainment of the GOES and USAID/El Salvador's development goals. The principal interventions of the new HCD activity will focus on

- Increasing the contribution of training to improving institutional performance by providing training advisory and support services to all SO/RP teams and their partner institutions,

**Graphic No. 1**

**USAID / EL SALVADOR  
HUMAN CAPACITY DEVELOPMENT ACTIVITY  
(HCD)**

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**Component 1  
Advisory/Coordination Services**

<b>Services</b>	a Advisory services Strategic planning workshops High impact training Gender awareness workshops Rural focus workshops b Information dissemination and coordination
<b>Customer</b>	HC partners TA contractors SO/RP teams
<b>Mechanism</b>	(a) GTD contractor (b) Training Unit
<b>Funding</b>	Core Funds

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**Component 2  
Integrated Services**

<b>Services</b>	a Pre training services b Post training services c Training implementation
<b>Customer</b>	Trainees
<b>Mechanism</b>	Training Unit (support) G T D Contractor (training) Local Sub Contractor
<b>Funding</b>	a & b Core funds (support) c SO/RP contributions (training)

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**Component 3  
Training on Cross Cutting Topics**

<b>Services</b>	a Leadership skills b Continuing education
<b>Customer</b>	Trainees
<b>Mechanism</b>	Local Sub Contractor
<b>Funding</b>	Core Funds

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- Training courses for activity beneficiaries in areas of leadership and empowerment designed to enhance the SO/RP technical training,
- Pre-training preparation, post-training follow-on services, training placement, administrative support for training events, processing of scholars, as well as pre-departure orientation/training and follow-on support

The three interventions work together to directly address the need to provide support to all the SOs so that training is integrated into the strategic planning process on a par with other development options. The members of the Training Unit, working as full members of the SO/RP teams, will serve as professional training management consultants, advising the teams about ways training can help contribute to achieving results.

The services will be offered through core funding from the new HCD activity and through contributions from SO/RP teams for training of their customers, GOES/NGO counterparts, on an as-needed basis. The services will be provided by a Global Training for Development (GTD)<sup>3</sup> contractor, one or more local training institutions sub-contracted by GTD as needed, and the USAID/El Salvador Training Unit.

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

**b** Description of Proposed Activity Components (Please refer to Graphic No 1)

Component 1 Advisory/Coordination Services

- a Advisory services will help ensure that training is linked to the development objectives of the Mission and that it contributes to achieve the intermediate results. Demand for advisory services appears solid according to the survey conducted by the HERNs team for the design of the HCD activity. Results of the demand survey are described in Annex C, Summary of Current and Future Training Needs. The advisory services include
- A series of Strategic Planning workshops will be provided to GOES/NGO counterparts, partners, extended team members, and customers, members of SO/RP teams will also be invited to attend to ensure the

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<sup>3</sup> Global Training for Development is an IQC with five U S contractors providing training/training support services to USAID missions worldwide. Please refer to Annex B the complete list of GTD subcontractors.

implementation of a reengineered training. As a result of these workshops, SO/RP teams will prepare and submit at the beginning of each fiscal year their training plans and requirements for HCD mechanism for the fiscal year, providing precise estimates on the nature and scope of training by SO for each fiscal year, as well as the preferred mechanisms for implementing the training. The information will be used to develop implementation and performance monitoring plans for the remainder of the fiscal year.

- High impact training workshops that will facilitate discussion and analysis of human capacity constraints, designing and accounting for results, the value of the "total learning experience" training, and monitoring and reporting results
- Workshops to increase gender awareness/rural focus and improve the participation of women and rural residents in all USAID activities will be provided by the GTD contractor to ensure that our customers - Salvadorans, especially women and youth from rural areas - are given adequate consideration in all Mission funded training activities

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

- b Information dissemination and coordination services will be provided by the Training Unit for several purposes
- To proactively inform, explain, update, and coordinate the USAID reengineering process for training to technical assistance contractors, partners, and counterparts, as well as SO/RP teams
  - To serve as a resource for SO/RP teams who need information on the best sources of training
  - To provide orientation packets for new contractors who were not on-board at the time of the initial workshops on reengineered training in USAID/El Salvador

## Component 2      *Integrated Services*

This component will provide a package of *administrative support services* for U S , third country, and in-country training. In general, this component covers pre- and post-training services, training design and placement, as well as administrative support

services for training events Also included in the Integrated Services is the maintenance of a *database of trainees* (Description of the services provided is found in Annex D, Integrated Services Package—GTD Contract )

- a Pre-training services High-impact training is best accomplished when attention is given to the following pre-training factors
  - conducting a performance gap analysis,
  - recruiting and selecting appropriate candidates in a critical mass, and where appropriate, from different hierarchical levels in an organization,
  - custom designing training in concert with all stakeholders,
  - completing a Training Agreement Action Plan,
  - pre-departure orientation, and
  - administrative processing tasks
  
- b Post-training services Follow-on is best designed at the outset of the training and discussed in the *pre-departure orientation* to ensure that the training contributes to individual and institutional performance improvement Follow-on services will be the joint responsibility of the RP team and the training specialist from the Training Unit working with that team
  
- c Services to implement technical/academic training will be provided by the GTD contractor They include design for customized training in the United States, identification of training provider, placement, logistic support for third country or U S training, and monitoring Additionally, GTD contractor will provide services for customized in-country training for specific target groups in SO/RPs

### Component 3      *Training on Cross-Cutting Topics*

Two areas for training courses which cut across SO/RP teams have been proposed

- Training in leadership and empowerment skills will be provided by a local training institution for participants in technical training programs A training specialist will be available to work with SO/RP teams, technical assistance contractors, and partners to determine the most effective ways to integrate these topics into the technical and management training The training specialist will assist in designing and delivering the training
  
- Continuing Education training for all participants to support technical/academic training funded by SO/RP teams

The local sub-contractor(s) will provide a series of independent seminars on topics of interest to the trainees of all SO/RP activities. The focus and timing of the courses will be determined in consultation with the SO/RP teams, their institutional contractors, and GOES/NGO counterparts through continuing dialogue.

Please refer to Annex E for the rationale for each of the activities under the three components.

**c Qualifications of Trainees and Selection Procedures**

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

- Individuals with recognized or potential leadership abilities, who are able and willing to share the training with others, thus increasing the multiplier effect of the training,
- Individuals who are "change agents", i.e., who have the technical skills and motivation to initiate change themselves or effectively support change initiated by their colleagues, agencies, or government,
- Individuals who have the expressed support of their supervisors and upper management of their institution to implement new ideas learned during training in order to effect institutional change.
- Training of a *critical mass* of individuals "representing various administrative and technical levels within an institution. The power of many individuals working in coordination and harmony is greater than that of those same individuals working independently" (HERNS Report, 1994)
- In some cases, selecting individuals from several levels hierarchical of an institution or sector (multi-level) is also important to ensure that upper levels of management are equally committed to the changes in performance that are required to achieve the stated institutional goals and hence do not obstruct the changes trainees wish to implement.

## V. ANALYTICAL/CONSULTATION PROCESS

### a. Methodology

As the completion of CLASP approached, USAID/El Salvador began discussing the future of training in the Mission. The focus of the discussions was on how to apply the lessons learned from CLASP in a reengineered USAID.

The Mission had obtained successful results from CLASP training through a) ongoing monitoring and evaluation carried out by the Analysis Team built into the Project, b) Mid-term evaluation completed in 1993, c) Mission-wide analysis conducted by a three-member USAID/Washington and Aguirre International team that demonstrated the high impact of CLASP Training which constituted the basis for the development of the Mission Training Strategy in 1994. In early 1996, OHE/E&T Division produced an issues paper that opened discussion on the future role of human capacity development (HCD) in the Mission. A mini-retreat and Training Strategy followed. In October 1996, USAID sought the services of the HERNS contract to further the design of a new HCD activity.

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

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

### b. Risks and Assumptions

A wide range of issues was raised throughout the process. A few of the key issues—in the form of risks and assumptions—are

addressed below, with the remainder being addressed throughout the document

**Estimating Demand for an HCD Activity** The new activity will be funded at a considerably lower level than CLASP. It will require full integration with SO/RP teams and activities in order to serve them more effectively. A significant portion of funding for technical and management training will come from contributions from SOs, which are also facing reduced budgets.

The main risk of this activity is that there may be low demand for training and training support services through the new activity. Likewise, there may be a higher demand than expected. Future demand could not be based on past demand for a Mission-wide training activity because of a few significant differences between CLASP and the new activity. A strategic review of the Results Packages starting each fiscal year will allow for a proper and thorough assessment of human resource constraints which will result in precise estimates for future training, including the reengineered aspects of training.

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

The new activity must work closely with other SO/RPs to prepare a transition plan that clearly outlines the how and when the training activities will be transferred gradually and in a planned fashion.

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

The perception that "training" must fit neatly on the Mission's Results Framework under a single SO is challenged by the fact that RFs are intended only to highlight "results" and not the "inputs" for achieving them. Therefore, training, as an input, would not normally appear on a Results Framework. However, if an RF were detailed down to the level of inputs (or activities), training would, by definition, need to be included under each SO.

## VI CONDITIONS PRECEDENT AND/OR COVENANTS

**Conditions Precedents to First Disbursement** Prior to the first disbursement under the Grant, or to the issuance by USAID of documentation pursuant to which disbursement will be made, the Grantee will, except as the parties may otherwise agree in writing, furnish to USAID in form and substance satisfactory to USAID

A An opinion of counsel acceptable to USAID that this Agreement has been duly authorized and/or ratified by and executed on behalf of the Grantee, and that it constitutes a valid and legally binding with all of its terms,

B A statement of the names of the persons holding or acting in the Offices of the Grantee specified in section 6.3 and of any additional representatives, together with a specimen signature of each person specified in such statement

### Special Provisions

A To assist the Government of El Salvador (GOES) in its efforts to achieve economic and social progress through effective use of its own resources and other measures self-help, it is agreed that USAID shall be solely responsible for training eligibility criteria and training determination, and for the management and use of Activity funds in accordance with the terms of the Agreement

B The GOES agrees that USAID may select one or more private entities who will be responsible to USAID for providing all goods and services under this Agreement. USAID will undertake all procurement for the Activity, obtaining evaluations, assure financial oversight, and audit of contractor performance using USAID standards and procedures

C The GOES will fully cooperate with USAID and provide whatever information may be necessary to ensure the effective use of the assistance, and will assist in providing information to the People of El Salvador about the program, to the extent practicable and permitted by its resources, upon request of USAID

D For all purposes relevant to this Agreement, the Grantee will be represented by the individual holding or acting in the office of the Minister of Foreign Affairs

## VII. IMPLEMENTATION AND MANAGEMENT PLAN

The new HCD activity will be implemented over a five and one-half

year period The proposed HCD activity will be managed under Strategic Objective No 1 - Expanded access and economic opportunity for El Salvador's rural poor - and in support of Intermediate Result No 1 - Better educated and trained rural residents - under the Education and Training Results Package The USAID Training Unit will be responsible for the operational and administrative functions of the activity

**a Implementation Methods**

The HCD activity will have three methods of implementation

- **U S Global Training for Development Contractor** the Mission will work with one of five preselected Global Training for Development (GTD) contractors (Please refer to Annex B) This single contractor could eventually replace current arrangements SO/RP teams have with institutional contractors or with Global Bureau mechanisms

After funds have been obligated through a SOAG, the Mission will prepare a Procurement Request to initiate the contract action which will be forwarded to G/HCD for final review and clearance The Mission will then proceed to negotiate the Delivery Order along with any other related contracting actions

The GTD contractor will have responsibility for providing the services "related to individual or group participant training Services will include providing an integrated package of participant trainee support services that may incorporate some or all of such in-country activities as training program development, related training needs assessment, trainee selection, documentation, logistical arrangements, and post-training follow-on programs, in addition to U S or third-country placement, program monitoring and administrative support (e g , travel, maintenance allowances, applicable taxes" (Global Training for Development contract) Please refer to Annex D for services anticipated to be delivered by the GTD contractor for USAID/El Salvador The GTD contractor will be issued a one year Delivery Order, renewable annually The annual Delivery Order may be amended for adjustments as needed

**Local Training Sub-Contractor(s)** The GTD contractor will sub-contract with one or more local training institutions - as needed - to implement components 2a and 2c (Pre and post-training services) and components 3a and 3b (Training on integrated leadership and empowerment and on cross-cutting topics ) This training may be provided through stand-alone modules or through a curriculum integrated with the technical training

The local sub-contractor(s) will provide a training specialist to work with the Training Unit and SO/RP teams to determine efficient and effective ways to integrate these elements of

The local sub-contractor(s) will provide a training specialist to work with the Training Unit and SO/RP teams to determine efficient and effective ways to integrate these elements of training into the technical training. The services of the training specialist will be required from the beginning of the contract in order for the specialist to participate in the initial planning workshops. The HERNS team visited several local educational and consulting firms and spoke with a variety of individuals about local capacity (See Annex J for a description of local institutions visited), it was concluded that sufficient capacity exists within El Salvador to provide the needed services for this component.

**b Implementation Schedule**

It is recommended that the activity begin in the fourth quarter of FY97 with some start up advisory services and strategic planning workshops using existing CLASP funds. These initial planning workshops will continue on a quarterly or on an as needed basis. As the Training Unit staff and local training specialist begin working with the SO/RP teams to determine training needs in the various categories (leadership, gender awareness, continuing education) and services for third country and U S training, they will prepare a work plan to implement these courses. The training specialist will work closely with the Training Unit to implement the courses.

**c. Management Methods**

*USAID Training Unit* The activity will be managed by the Training Unit under the direction of the Human Capacity Development Manager (HCDM). Three additional staff members will manage and implement the activity: an Activity Manager, a training assistant, and one follow-on coordinator. Please refer to Annex K for the specific functions of each member of the Training Unit.

The principal function of the Training Unit staff will be to proactively promote the role of training in achieving improvements in individual and institutional performance. Each of the activity team members will serve as training liaison members of SO/RP teams. They will establish a close relationship with the SO/RP teams to assist them and their GOES/NGO partners and technical assistance contractors in all phases of training for improved performance. This approach establishes the Training Unit as the "thread of continuity" that provides a coherent and strategic approach to the use of training.

**d Monitoring the Implementation**

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

**VIII. FINANCIAL PLAN**

**a Activity Budget**

The new HCD activity will be implemented over a five-and-one-half year period with a LOP funding of a \$5,700,000, consisting of \$4,000,000 and a \$1,700,000 contribution from SO1. This does not include contributions from other SO/RPs and/or counterparts. The estimated costs per fiscal year are detailed in Table No 2 by activity component.

<b>Component</b>	<b>FY97 *</b>	<b>FY98</b>	<b>FY99</b>	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>Total (US \$)</b>
1 Advisory/ Coordination Services	61 500	105 000	102 000	95 000	54 000	32 500	450 000
2 Integrated Services (covered by USAID Admin Costs)	450 000	250 000	250 000	250 000	250 000	250 000	1 700 000
3 Training on Cross- cutting Topics	160 000	700 000	580 000	680 000	244 500	190 500	2 555 000
GTD Admin Costs	4 000	13 000	15 000	15 000	7 000	6 000	60 000
USAID Admin Costs	10 000	72 500	95 000	107 500	110 000	105 000	500 000
Evaluation	0	0	100 000	0	0	100 000	200 000
Contingency	14 500	59 500	58 000	52 500	34 500	16 000	235 000
<b>Total</b>	<b>700 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>700 000</b>	<b>700 000</b>	<b>5 700 000</b>

Please refer to Table No 3 for a detailed estimated activity budget.

The obligation of core funds for FY97 is expected to be \$250,000 for the new activity. In addition, approximately \$140,000 remaining from CLASP will be available for the new activity. These funds will be used before the PACD of CLASP (Dec, 15, 1997), and will not be added to the new HCD activity.

If reduced levels of core activity funding are required, cuts could be made to Components 1 and 3, evaluations, and

contingency The greatest source of cuts could come from reducing the number of core-funded workshops offered through Component 3 (Table No 4 shows various scenarios for budget reductions ) In this case, core funds could be replaced through contributions from SO/RP teams, who have expressed a willingness to pay for the workshops

The initial HCD activity funds (\$250,000 core funds and \$450,000 contributions from SO1) will be obligated through the signature of a Strategic Objective Agreement (SOAG) between USAID and the Ministry of Foreign Affairs Future year funds will be obligated through amendments to the original SOAG

This SOAG will include two new starts in SO1 (a) Microfinance Activity, and (b) HCD activity Once obligation has been effected, the Mission will prepare a procurement request to initiate the contract action through a Delivery Order to one of the five GTD (Global Training for Development) contractors for training services The HCD core funds and contributions from other SOs will be included in this Delivery Order Other line items - USAID administrative costs and evaluation - will be line-items in the SOAG that will be committed through (a) Personal Services contracts, and (b) Contracts or Delivery Orders respectively

**b Sources of Funds**

There are two sources of funds for the new HCD activity

- *The core funds* will be obligated annually and will cover 100 percent of the Advisory/Coordination Services costs, USAID administrative costs, and costs for training on cross-cutting topics
- *Contributions from SO/RP teams* will be provided for technical/academic training implementation in the U S and third country, for individuals or groups of trainees under particular SO/RPs Contributions will also be provided when SO/RPs require customized in-country training for specific target groups in their SO/RPs

The level of contributions from SO/RP teams is to be determined each year during strategic planning workshops in which the GTD contractor works with each SO/RP team and partner to develop training plans SO/RP teams will determine their needs for HCD activity on an annual basis and will submit them with corresponding specific amounts to be included in a Delivery Order, which would be amended for adjustments as needed Estimated funding levels per fiscal year are

<u>FISCAL YEAR</u>	<u>CORE FUNDS</u>	<u>SO#1 CONTRIBUTIONS</u>	<u>SUB-TOTAL</u>	<u>OTHER SO/RPs CONTRIBUT</u>
1997	\$ 250,000	\$ 450,000	\$ 700,000	\$ - - - -
1998	\$ 950,000	\$ 250,000	\$1,200,000	\$ 250,000
1999	\$ 950,000	\$ 250,000	\$1,200,000	\$ 250,000
2000	\$ 950,000	\$ 250,000	\$1,200,000	\$ 250,000
2001	\$ 450,000	\$ 250,000	\$ 700,000	\$ 250,000
2002	\$ 450,000	\$ 250,000	\$ 700,000	\$ 250,000
Totals	\$4,000,000	\$1,700,000	\$5,700,000	\$1,250,000

**c. Methods of Implementation and Financing**

There will be three primary methods of implementation of the new HCD activity (a) the USAID Training Unit staff, (b) a U S training contractor (one of the five GTD organizations), and (c) one or more local training sub-contractors, as needed. The methods of financing will include Delivery Orders to the contractors and internal billing to cover USAID administrative costs. The methods of implementation and financing for each component are summarized in Table No 5.

**d Audit and Evaluation Requirements**

The activity will be implemented by a U S Global Training for Development (GTD) contractor. Since the USAID/W Office of Procurement has audit cognizance for the contract to be signed with the GTD contractor, no funds have been budgeted separately for audit purposes. The contract will contain the standard clause, FAR 52 215-2, Audit-Negotiation. The prime contractor shall insert a clause containing all the terms of this clause, including paragraphs (f), in all sub-contracts under this contract that are over the small purchase limitation in FAR Part 13, altering the clause only as necessary to identify properly the contracting parties and the contracting officer under the Government prime contract. Mission Operations Manual No 8015, Closeout of Contracts, Grants and Cooperative Agreements will apply to audit matters related to contract closeout.

External evaluations will be conducted, as needed, with core funds. Moreover, performance monitoring data will be collected through the "Integrated Services" component, on an annual basis.

**e. Recurrent Costs and Counterpart Contributions**

Recurrent costs and sustainability are not issues in this activity because there will be no local institution directly organized or otherwise assisted as an objective of the new HCD activity. Likewise, there is no single host country counterpart institution for this activity. However, within each SO, counterparts have been identified and will be required to fund a portion of training costs as specified in their agreements. Generally, the counterpart contribution will consist of (1) the

salaries of the trainees for the duration of the training program and (2) cost of international travel wherever applicable

The dollar equivalent of the counterpart contribution for the new HCD activity cannot be determined at this point in time. Please refer to Table No. 6 for initial estimates. Once training plans are developed (during Phase I of each fiscal year) and figures are available for the contribution levels, a counterpart contribution can be calculated. The host country contribution (whenever applicable) will be documented in each Training Agreement.

**f. Financial Management Procedures**

The core activity funds will be managed by the HCD activity manager, with oversight from the HCDM, the Strategic Development Office, and the Controller's office. Every effort will be made to contain both administrative and training costs. The budget includes contingency funds to be used to cover unexpected needs. Use of these funds are at the discretion of the HCDM and HCD Activity Manager. Access to the funds are not to replace the need for SO/RP planning and use of their own contingency funds.

The contribution component of the activity (Component 2) will be financed by multiple funding sources, from SO/RPs. The teams will provide for a single, shared activity – the new HCD activity – via the use of a procurement request containing a scope of work covering specific services requested. Contribution funds will be at the discretion of each participating SO/RP team. The SO/RP team will make annual requests for training, with amendments as needed. The funds will be pooled through the HCDM – who will also serve as the COTR Technical Liaison Officer (TLO) for GTD and local sub-contractor agreements – and relayed to the GTD contractor through delivery orders. Delivery orders will be billed by invoice, specifying the cost for each SO. GTD contractor and the Training Unit will keep close record of funds received and expended from each SO/RP, which in turn will decide the use of residual savings.

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

**g. Sustainability**

The activity's purpose is to integrate and institutionalize successful reengineered training methodologies in the participating local institutions and across strategic objectives and sectors. This is a sustainable approach. The flow of benefits from implementing training in new ways has already been

flow of training benefits through implementation of this new activity which is principally focused on high impact in-country training with some third country and U S training It will build upon past successful methodologies that have demonstrated the institutional commitment and involvement in design, training of critical mass and follow-on activities which have resulted in adoption of sustainable approaches in achieving impact-oriented results

## IX. PERFORMANCE MONITORING PLAN

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

### a Expected Results and Proposed Indicators

Results are expected at various steps along the path that links training to SOs, as illustrated on Table No 7 The first steps are to *strategically plan training and then manage training for results* If done effectively, the planning and implementation will allow trainees to *acquire the targeted skills, knowledge and attitudes* The acquisition of SKAs is a necessary precondition for a trainee to transfer or *apply SKA* to the workplace, thereby improving the trainee's performance ("Improved transfer of technical and management skills" has been identified by USAID as the primary result of the new HCD activity ) Trainees' improved performance, then, contributes to improved performance of the partner institution In turn, improved institutional performance will *contribute to the Results Package objective* The partner's improved performance will, thereby, *contribute to the Strategic Objective*

Indicators that have been established for this activity are

- 1 Trainees applying elements of their training to the workplace - expressed as a percentage It measures the impact of training in the workplace or community by trainees applying elements of their training
- 2 Trainees with increased responsibilities - expressed as a percentage It measures the impact of training in the workplace by trainees assuming greater responsibilities as a result of their training

- 3 Trainees' action contracts executed within six months of training - expressed as a percentage It measures the impact of training in the workplace, community, or sector by trainees successfully completing the action contracts prepared by them as a result of their training

**b Data Collection and Reporting Plan**

Stakeholders of the new HCD activity will be the main sources of data for the PMP SO/RP teams, the Training Unit, institutional contractors, training providers, trainees and their supervisors Data will be collected through standard rapid appraisal methods interviews, focus groups, on-site observation, written questionnaires, and document reviews The schedule for collecting data will vary according to the result being measured, as indicated on Table No 7

The Training Unit will take the lead for ensuring that performance monitoring data are collected on the planning, implementation, and acquisition steps for training conducted through the HCD activity The TU has primary responsibility for achieving results - and therefore measuring results - for these first few steps Monitoring the application step must, however, be a collaborative effort between the TU and the RP teams SO/RP teams will take the lead in monitoring higher level results

**HUMAN CAPACITY DEVELOPMENT ACTIVITY**

**NEW ACTIVITY DOCUMENT**

**T A B L E S**

**June 1997**

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Table No 5	Methods of Implementation and Financing Made reference to on Page 16
Table No 6	Initial Estimates of Counterpart Contributions Made reference to on Page 16
Table No 7	Measuring Progress Toward Achievement of Strategic Objectives Made reference to on Page 17 & 18

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

<b>Activity Budget Summary</b>							
<b>Component</b>	<b>FY97 *</b>	<b>FY98</b>	<b>FY99</b>	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>Total (US \$)</b>
1 Advisory/ Coordination Services	61 500	105 000	102 000	95 000	54 000	32 500	450 000
2 Integrated Services (covered by USAID Admin Costs)	450 000	250 000	250 000	250 000	250 000	250 000	1 700 000
3 Training on Cross- cutting Topics	160 000	700 000	580 000	680 000	244 500	190 500	2 555 000
GTD Admin Costs	4 000	13 000	15 000	15 000	7 000	6 000	60 000
USAID Admin Costs	10 000	72 500	95 000	107 500	110 000	105 000	500 000
Evaluation	0	0	100 000	0	0	100 000	200 000
Contingency	14 500	59 500	58 000	52 500	34 500	16 000	235 000
<b>Total</b>	<b>700 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>700 000</b>	<b>700 000</b>	<b>5 700 000</b>

Table 3							
BUDGET FOR NEW HCD ACTIVITY							
	1997	1998	1999	2000	2001	2002	TOTAL
<b>Component 1.</b>							
<b>Advisory/Coordination Services (GTD)</b>							
A	Advisory Services (Core)						
b	Strategic planning workshops	21 000	46 000	46 000	46 000	30 000	18 500
c	High impact training workshops	24 000	35 000	45 000	45 000	22 000	12 500
d	Gender/rural workshops	16 000	30 000	17 000	10 000	8 000	8 000
B	Information dissemination and coordination (Core through USAID administrative costs)						
<b>TOTAL COMPONENT 1</b>		<b>61 000</b>	<b>111 000</b>	<b>108 000</b>	<b>101 000</b>	<b>60 000</b>	<b>39 000</b>
<b>Component 2.</b>							
<b>Integrated Services (Training Unit)</b>							
A	Pre and post training services (covered through USAID administrative costs)	50 000	25 000	25 000	25 000	25 000	25 000
B	Training costs (funded through contributions from SO/RPs to GTD contractor and sub-contractor)	400 000	225 000	225 000	225 000	225 000	225 000
<b>TOTAL COMPONENT 2</b>		<b>450 000</b>	<b>250 000</b>	<b>250 000</b>	<b>250 000</b>	<b>250 000</b>	<b>250 000</b>
<b>Component 3.</b>							
<b>Training on cross-cutting topics (sub-contractor)</b>							
A	Leadership/empowerment integrated with technical training (Core)	45 000	200 000	130 000	180 000	45 000	80 000
B	Continuing education seminars (Core and contributions from SO/RPs)	120 000	500 000	450 000	500 000	200 000	110 000
<b>TOTAL COMPONENT 3</b>		<b>165 000</b>	<b>700 000</b>	<b>580 000</b>	<b>680 000</b>	<b>245 000</b>	<b>190 000</b>
<b>GTD Administrative costs</b>							
	Contract manager (covered by GTD labor multiplier)						
	Financial manager (covered by GTD labor multiplier)						
	Fee on sub-contract	4 000	13 000	15 000	15 000	7 000	6 000
<b>TOTAL GTD ADMINISTRATIVE COSTS</b>		<b>4 000</b>	<b>13 000</b>	<b>15 000</b>	<b>15 000</b>	<b>7 000</b>	<b>6 000</b>
<b>USAID Administrative costs</b>							
	Salaries and benefits		50 000	75 000	90 000	95 000	90 000
	Equipment/communications/utilities	10 000	22 000	20 000	18 000	15 000	15 000
<b>TOTAL USAID ADMINISTRATIVE COSTS</b>		<b>10 000</b>	<b>72 000</b>	<b>95 000</b>	<b>108 000</b>	<b>110 000</b>	<b>105 000</b>
<b>Other costs</b>							
	Evaluations			100 000		100 000	200 000
	Contingency	10 000	54 000	52 000	46 000	28 000	10 000
<b>TOTAL OTHER COSTS</b>		<b>10 000</b>	<b>54 000</b>	<b>152 000</b>	<b>46 000</b>	<b>28 000</b>	<b>110 000</b>
<b>GRAND TOTAL ACTIVITY COSTS</b>		<b>700 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>1 200 000</b>	<b>700 000</b>	<b>700 000</b>
							<b>5 700 000</b>

<b>Component</b>	<b>LOP Amount</b>	<b>90% Level</b>	<b>80% Level</b>	<b>75% Level</b>
1 Advisory/Coordination Services	480,000 00	432,000 00	384,000 00	360 000 00
2 Integrated Services	1 700 000 00	1,530 000 00	1,360 000 00	1 275,000 00
3 Training on Cross-Cutting Topics	2,560,000 00	2 304 000 00	2,048 000 00	1 920 000 00
GTD Administrative Costs	60,000 00	54 000 00	48 000 00	45 000 00
USAID Administrative Costs	500,000 00	450,000 00	400,000 00	375 000 00
Evaluation	200 000 00	180 000 00	160 000 00	150,000 00
Contingency	200 000 00	180 000 00	160,000 00	150 000 00
<b>Total</b>	<b>5,700,000 00</b>	<b>5,130,000 00</b>	<b>4,560,000 00</b>	<b>4,275,000 00</b>

<b>Table 5</b>			
<b>Methods of Implementation and Financing</b>			
<b>Activity Component</b>	<b>Method of Implementation</b>	<b>Method of Financing</b>	<b>Estimated Amount (US \$)</b>
1 Advisory/ Coordination Services	GTD Contract	Delivery Orders under GTD	480 000
2 Integrated Services	USAID Training Unit and GTD Contract	<i>Admin costs</i> Activity Mgmt <i>Training costs</i> Contributions from SO/RPs to GTD	1 700 000
3 Training on Cross-cutting Topics	Local Training Contract	Subcontract to GTD Contract	2 560 000
GTD Admin	GTD Contract	Delivery Orders under GTD	60 000
USAID Admin	USAID Training Unit	Internal billing	500 000
Evaluations	Contract	Contract to Audit and Evaluation firms (or Delivery Order for IQC)	200 000
Contingency	USAID Training Unit	Internal Billing	200 000
Total			5 700 000

**Table No 6  
NEW HCD ACTIVITY  
ESTIMATES FOR COUNTERPART CONTRIBUTION**

<b>FISCAL YEAR</b>	<b>CORE FUNDS</b>	<b>S O #1 CONTRIBUTIONS</b>	<b>TOTAL HCD</b>	<b>COUNTERPART CONTRIBUTIONS</b>	<b>SUB-TOTAL SOAG</b>	<b>OTHER SOs CONTRIBUTIONS</b>
1997	250,000	450,000	700,000	12,000	262,000	250,000
1998	950,000	250,000	1,200,000	48,000	998,000	500,000
1999	950,000	250,000	1,200,000	48,000	998,000	500,000
2000	950,000	250,000	1,200,000	48,000	998,000	500,000
2001	450,000	250,000	700,000	22,000	472,000	500,000
2002	450,000	250,000	700,000	22,000	472,000	500,000
<b>TOTALS</b>	<b>\$ 4,000,000 *</b>	<b>\$ 1,700,000</b>	<b>\$ 5,700,000</b>	<b>\$ 200,000 *</b>	<b>\$ 4,200,000 *</b>	<b>\$ 2,750,000 *</b>
	ϕ35,000,000	ϕ 14,875,000	ϕ49,875,000	ϕ1,750,000	ϕ36,750,000	ϕ24,062,500

\* (Exchange rate \$1 00 = ϕ8 75)

**Table 7**  
**Measuring Progress Toward Achievement of Strategic Objectives**

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

**HUMAN CAPACITY DEVELOPMENT ACTIVITY**

**NEW ACTIVITY DOCUMENT**

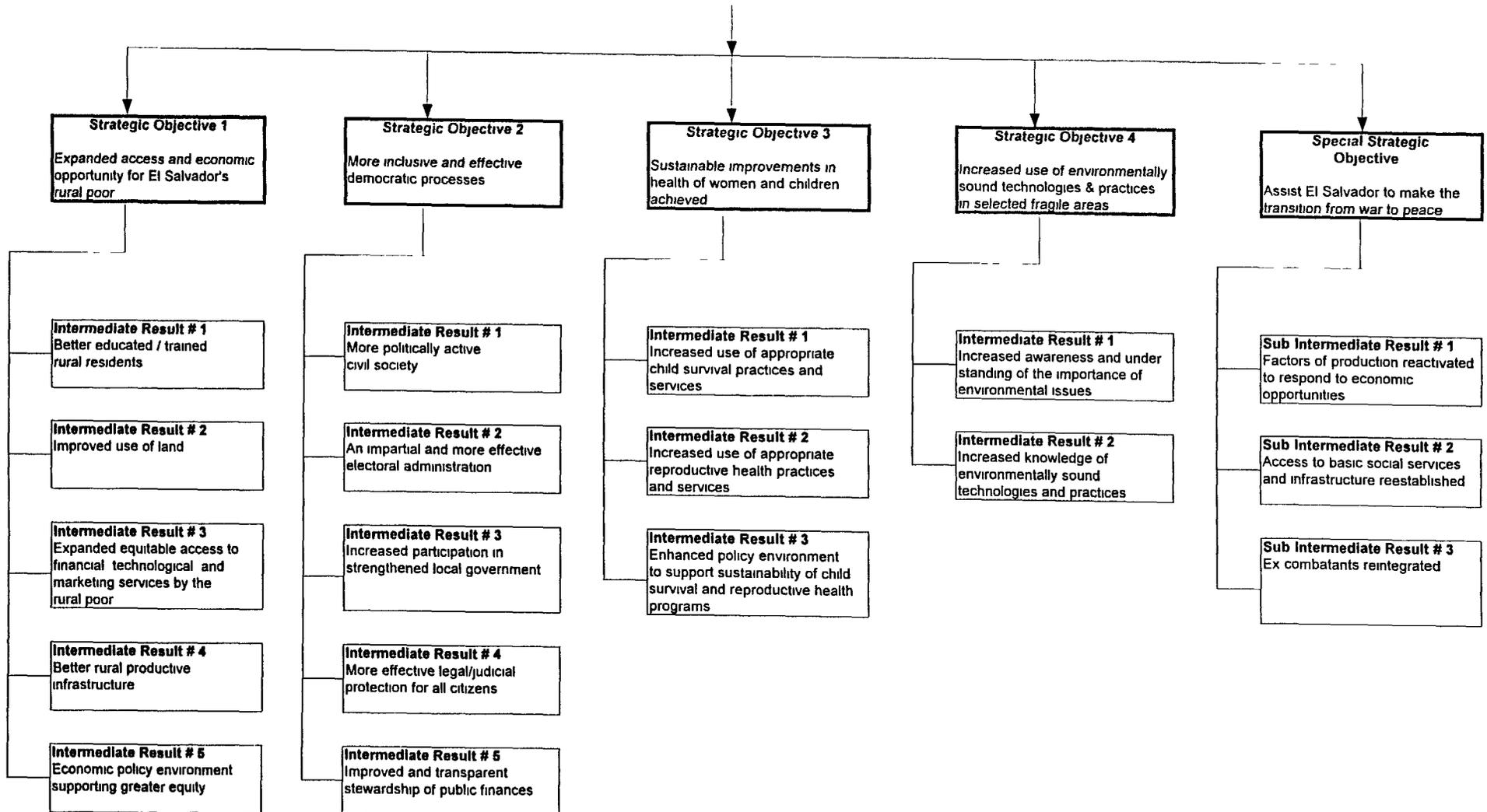
**A N N E X E S**

**June 1997**

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**OBJECTIVE OF THE ASSISTANCE PROGRAM IN EL SALVADOR  
SUSTAINABLE DEMOCRACY AND DEVELOPMENT**



**GLOBAL TRAINING FOR DEVELOPMENT  
Contract Awards, 16 August 1996**

- 1 Academy for Educational Development (A E D)**  
Subcontractors
  - AMEX International, Inc
  - Development Alternatives, Inc
  - TTW Consulting Group
  - WPI, Inc
  - InfoStructure International
  
- 2 Development Associates, Inc (D A I)**  
Subcontractors
  - International Center for Research on Women
  - InfoStructure International
  
- 3 Institute for International Education (I I E)**  
Subcontractors
  - Management Systems International
  - Auroral Associates
  - InfoStructure International
  
- 4 The Pragma Corporation (Small Business Set-Aside)**  
Subcontractors
  - CHP International
  - Hagler Bailly Consulting, Inc
  - InfoStructure International
  
- 5 World Learning, Inc (W L I)**  
Subcontractors
  - The African-American Institute
  - AMIDEAST
  - The Asia Foundation
  - Creative Associates International, Inc
  - InfoStructure International

## Summary of Current and Future Training Needs By Strategic Objective<sup>1</sup>

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

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

<b>Strategic Objective 1</b>		<b>Expanded access and economic opportunity for El Salvador's rural poor</b>	
<b>Results Package</b>	<b>Activity</b>	<b>Current Training Mechanism</b>	<b>Institutional Contractor (IC), Central Support Mechanism (CSM) or Other</b>
IR 3 Expanded equitable access to financial technological and marketing services by the rural poor	a Micro enterprise Development Project	a	The Centro de Apoyo a la Microempresa (CAM) is teaching their Community Bank methodology to the beneficiaries (village bankers, solidarity groups and micro-entrepreneurs) based on the Salvadoran context Training includes business/credit education and human development components
	b Rural Equitable Economic Growth	b	Chemonics (IC) & sub-contractors assess needs and train credit union/cooperative members using WOCCU and NCBA methods Some third country training but no U S training is anticipated
	c Small Enterprise Support	c	Fundacion para el Desarrollo Economico y Social (FUSADES) is the IC and has provided the training
	d Micro enterprise 2000	d	The IC Catholic Relief Services (CRS) has a full-time training specialist who works with the technical specialists to design training programs using non-formal adult education methodology
	e Micro enterprise Innovation Project	e	CRS coordinates 6 groups in Micro enterprise field activity has little training
	f Coffee Technology Transfer Project	f	Fundacion Procafe the IC provides the majority of training Some U S training provided by activity
Training support services needed to achieve high impact training	a	CAM considers their training needs in credit/business and human development adequately covered by their own training The greatest training need is to teach clients a technical skill (ie carpentry bakery etc)	
	b	Chemonics/Creceer staff does not have a full-time training specialist They are interested in and have funding to hire a training specialist on a short-term basis to organize in-country training (fora management courses skill training for business owners) This will be based on micro and small entrepreneurs needs that are identified through implementation of the CRECER project They are interested in USAID serving as a clearinghouse for local facilitators and courses	
	c	No training needed as the activity is scheduled to end in Dec 1996	
	d	CRS interested in USAID coordinating dialogue with NGOs on training Their full-time training specialist designs and implements CRS programs	
	e	The new activity has not been identified although in-country training is expected to be a major component At this stage in the planning, it is too early to tell how much money will be spent on training In previous activity, did not use CAPS/CLASP projects for training	
IR 4 Better rural productive infrastructure	PL 480	Not applicable	

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

<b>Strategic Objective 2</b>		<b>More Inclusive and Effective Democratic Processes</b>	
<b>Results Package</b>	<b>Project / Contractor / Principal Counterparts</b>	<b>Current Training Mechanism</b>	<b>Institutional Contractor (IC), Central Support Mechanism (CSM) or Other</b>
IR 1 Improved opportunity for better informed electoral decisions	Election Project	Former IC provided training	Current IC International Foundation for Electoral Support (IFES) developed a training plan with the Supreme Electoral Tribunal (TSE) Highly technical training provided by IFES advisors
Training support services needed to achieve high impact training	The project is in transition as IFES assumes responsibility for functions previously handled by 2 ICs (electoral issues and voter civic education) IFES is reviewing the results of 4-5 outside evaluations and audits which will reveal the institutional needs for training as well as other TA No training has been done yet by IFES although they may be interested in CLASP-like leadership training The results from the demand survey which represent the input from all team members including the IC indicated no interest in services to plan for the strategic use of training The team is interested in assistance in training program design a trainer database, and the information/dissemination services They are interested in and can pay for a variety of cross-cutting courses for the TSE Several courses on strategies for reengineering and all but two (self esteem and gender sensitivity) of the empowerment courses were of interest		
IR 2 Increased access to enhanced legal/judicial protection	Judicial Reform II a NGO component b Strengthening of Judicial Institutions	a Checchi (IC) provided trained NGOs trainers to disseminate information about legal reform in family and juvenile codes b Checchi's (IC) using an institutional development model Full-time training specialist developed profile of jobs and training plan to decrease skill deficits Training delivered by technical advisors some short-term trainers and the Escuela Nacional Judicial c Unidad Tecnica Ejecutiva (UTE) of the judicial sector is the institution responsible for the coordination and implementation of all projects that support the judicial sector funded by the donor community	
Training support services needed to achieve high impact training	a Checchi is interested in services in training design and methods monitoring and evaluation of impact strategic planning and leadership/empowerment to support NGO programs b Checchi would use USAID services to process trainees for US and third country training, if services were free Responses from the USAID/RP team and the IC to the demand survey indicate some interest in the topic "strategic use of training" and in services to assist in training implementation The RP team would use the information/dissemination services but expressed little interest in the cross-cutting training courses Leadership/empowerment courses were of interest and the team has the ability to pay some of the costs of a team-building course		

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

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

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

<b>Special Strategic Objective (SSO)</b>	<b>Assist El Salvador to Make the Transition from War to Peace</b>		
<b>Results Package</b>	<b>Project / Contractor / Principal Counterparts</b>	<b>Current Training Mechanism</b>	<b>Institutional Contractor (IC), Central Support Mechanism (CSM) or Other</b>
IR 1 1 Factors of production reactivated to respond to economic opportunities	Project 0394	In a short period of time an immense amount of training has been provided to the ex-combatants and 'tenedores in compliance with the Peace Accord	
IR 1 2 Access to basic social services and infrastructure reestablished		According to the evaluation for this component under 0394 the design of training for future SSO activities carried out under other SO's should be carried out with more time and a greater knowledge of trainees needs and desires A more realistic assessment of skills demanded by the economy was also recommended by the evaluation	
IR 1 3 Local level democratic institutions built and civic participation increased		Special attention should be given to the IR in SO 1 dealing with improved use of land " At this point it appears certain that the World Bank is not going to support activities related specifically to parcelization Training is needed to help achieve this goal of improving land use	
IR 1 4 Ex-combatants reintegrated			

## **INTEGRATED SERVICE PACKAGE - GTD CONTRACT**

### **INTEGRATED SERVICES PACKAGE**

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

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

#### *Element 1 Training Plan Development*

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

#### *Element 2 Recruitment and Selection*

- 2a Identify types of participants and qualifications necessary to achieve training strategy goals in consultation with USAID officials.
- 2b Establish selection criteria, procedures, and organize selection committee (if desired by the mission).

- 2c In concert with USAID, identify and work with key institutions (such as government ministries or other organizations that would benefit from human capacity development and training) and potential contacts in target areas to facilitate appropriate recruitment and selection
- 2d Develop and implement recruitment strategy to meet USAID mission program requirements Screen candidates and present finalists to selection committee
- 2e Maintain complete documentation of recruitment and selection process

### *Element 3 Training Program Development*

- 3a Design individual or group training program in consultation with the participant, the sponsoring organization and other stakeholders In concert with the participant and other stakeholders, develop specific training objectives and expected activities after return that take into account the strategic objectives of the mission The result will be a Training Agreement that clearly establishes the training objectives and the expectations and responsibilities of all involved parties
- 3b In concert with stakeholders, develop indicators that will track performance and potential impact
- 3c Identify requirements for cultural immersion/homestays, internships, on-the-job training, observation tours, and other supplemental activities to include in training request Supplemental activities should be integrated into the professional training program and should be tied to training objectives
- 3d Prepare detailed training request and transmit to the U S programming organization adequately in advance of anticipated training date Technical programs will be initiated at least 3 months in advance, and academic programs will be initiated at least 6 months in advance
- 3e Review recommended program with participant, revise program, if necessary, and return to U S programming organization (or home office if U S services are part of the same DO)

### *Element 4 Pre-Program Preparations*

- 4a Arrange for administration of, and follow up on approved standardized test of English language proficiency (ALIGU, CEPA, TOEFL) and other pre-program testing requirements (GRE, SAT, GMAT, etc )
- 4b Provide scores to USAID and include in participant files
- 4c Arrange for interpreter or escort services for individuals/groups not meeting the language requirements, when requested
- 4d Medical testing and clearance Provide participant with approved medical examination forms, ensure that the forms are correctly completed, maintain appropriate records, and provide forms to USAID as required
- 4e Visa arrangements Complete the IAP-66A form for signature by designated USAID representative Assist participant to complete visa application to the U S Consul if necessary

- 4f Travel and Housing Arrangements Provide for all travel arrangements to the U S or elsewhere (round trip) and transit visas if required Arrange for appropriate housing according to mission specifications as requested, which may include homestays for purposes of cost containment or cultural immersion
- 4g Maintenance Advance Arrange for participants to receive required funds prior to leaving the home country
- 4h Complete required data forms Complete Participant Data Form and other required documentation (Conditions of Training, power of attorney, etc ) and send to appropriate USAID office Forms see Ch 253, SR, Sec 3 Appendix
- 4i Assist participants with Federal, state and local tax forms and assure that filings take place as appropriate

*Element 5 Pre-departure Orientation*

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

*Element 6 Placement and Monitoring*

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

cost effective alternative When training is to take place in country, technical assistance may be needed to strengthen the institutional base to support the country

- 6b Prepare an training implementation plan (TIP) that describes in detail the proposed training and enhancement activities and the suggested schedule (Once accepted, this plan could then be part of the Training Agreement) - Optional activities not specifically requested by the USAID mission must be identified as such and cost information provided The TIP must be approved in writing by the USAID mission
- 6c Make all administrative arrangements for participant programs, including
- Negotiate cost savings with training provider
  - Arrange for placement (applications, fee payment, course selection, etc)
  - Arrange for all travel and logistical support, including appropriate housing When requested by mission or bureau, arrange for participant homestays near the training site as an alternative to institutional housing solutions Inform mission and participant of travel arrangements and dates
  - Enroll all participants in the required health and accident coverage (HAC) program and adjust as needed for program changes
  - When requested by mission or bureau, arrange for participant homestays in the community near the training site as an alternative to institutional housing solutions,
  - Transmit required participant data to USAID
  - Have participants met upon arrival in the U S or the third country
  - Provide timely payment of all allowances and expenses according to ADS Ch 253 requirements, ensuring that payments are made for legitimate program purposes, generate Statement of Earnings for tax filing on behalf of participants
- 6d Monitor and Report on Participant Progress
- Maintain (and document) regular contact with participants to identify and resolve problems Long term participants should be contacted a minimum of four times each year Procedures should be developed for short-term participants to track activities, attendance, performance, problems, and successful completion of program
  - Advise mission on participant progress on a quarterly basis
  - Notify the mission on completion of training program and the date of the participant's return to the home country
  - Inform participants of tax liability, if any, using G/HCD guidance and assure that participants complete and file forms as required
  - Arrange, secure approval for, and document extensions and transfers
- 6e Provide cultural and logistics orientation to all participants Minimum orientation includes

- Review of the Training Agreement prepared in country, including review of training program, training objective, relationship to USAID strategic objectives, and responsibilities of various stakeholders
  - Review program schedule, transportation and logistics
  - Review of all USAID and Immigration and Naturalization Service (U S INS) rules affecting participants, particularly the 2-year return residency requirement before eligibility for permanent residency in the U S
  - Detailed information about daily activities (housing, shopping, food preparation, check cashing, transportation, correspondence, and communication)
  - Orientation to the city, and the training site (geography, attractions, etc)
- 6f Establish evaluation criteria and mechanisms to allow for periodic review of U S and third country training programs
- 6g Provide all participants with approved training evaluation forms and complement written forms with periodic interviews Collect evaluations, analyze and report data
- 6h Maintain evaluations, transmit to missions and have available on file for review by BELS
- 6i Develop evaluation instruments for use with training institutions, trainers, mission staff and other stakeholders involved in the design and implementation of each training activity so that problems and successful interventions can be identified
- 6j Utilize evaluation data on a systematic basis to identify problems and improve programs
- 6k Cooperate and coordinate evaluation efforts with other evaluation activities sponsored by the missions, Bureaus, or BELS The nature of the coordination of evaluation activities will be negotiated on a case by case basis to ensure adequate evaluation coverage without duplication of effort

#### *Element 7 Enhancement Activities*

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

#### *Element 8 Management*

- 8a Maintain complete records
- Relating to participants, including selection criteria, biodata, record of medical certification, English language test scores, visa status, waivers, travel arrangements, advances to participants, as well as attendance at pre-departure sessions, Training Agreements, etc
  - On competition and selection of training providers, negotiations, and cost savings achieved
  - Containing financial data with standard Training Costs Analysis elements on

each participant program and for overall program

- Maintain individual participant files using a consistent and standardized format and retain files at least twelve months after departure from the United States or third country or after the last bill for training is paid (including federal and states taxes) Transfer files to USAID for retirement

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

#### *Element 9 Re-entry*

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

#### *Element 10 Follow-on*

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

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

#### *Supplemental activities*

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

#### *Expanded Pre-Departure Orientation*

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

*In- country Pre-Program Academic and Language Preparation*

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

*Expanded Follow-on Programs*

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

**TECHNICAL ASSISTANCE SERVICES**

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

Examples of technical assistance activities

a Provide planning and strategy development services for USAID missions

- Conduct training needs assessments so that all individual and group training support strategic objectives on a sector, organizational, or individual basis
- Assist USAID officials to develop overall strategy for using participant training
- Assist USAID officials to develop training plans in support of strategic objectives
- Design training programs/project
- Develop impact indicators for training programs
- Design evaluation system for training programs

Prepare of a directory of services that G/HCD provides and other program information

b Develop an orientation package, brochure, pamphlet, or video for new mission training officers

- Provide specialized support for HBCU or WID enhancement projects
- Conduct special follow-up studies of post return components of training action plans
- Publish of a monthly or quarterly International Training Newsletter with input

from and distribution to mission training officers and other training program personnel

- Conduct special evaluation studies and reports to determine which missions consistently have the most successful training outcomes (high program completion rates, high grade point averages, low non-returnee rates, and so forth) and the characteristics (pre-departure orientation, community service and cultural activities, transition activities, follow-up, and so forth) that make these missions successful
- Develop standardized pre-departure or U S arrival orientation programs, videos, or other materials
- Develop, coordinate, or present workshops or conferences for mission staff or other training-related groups at different levels
- Identify and evaluate third-country training programs or facilities within the various regions
- Provide training evaluation services to missions, Bureaus or G/HCD to assess individual training activities, training projects, training components of technical projects or whole training portfolios -- in order to improve program implementation and enhance development impact
- Provide periodic reports to the HCD Weekly Reports for dissemination to missions and USAID offices

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

## RATIONALE FOR EACH ACTIVITY UNDER IMPLEMENTATION COMPONENTS

### Component One Advisory/Coordination Services

#### *a* Advisory Services

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

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

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

**Customer** Three customers have been identified for this service: GOES/NGO counterparts, host country partners, and technical assistance contractors.

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

#### *b* Increase Gender Awareness/Rural Focus

USAID has mandated a 50 percent participation of women in training programs. During the eleven years of implementation of CAPS and CLASP, 46% of the 3,359 scholars are women. However, during this same period, women represented only 24 percent of USAID/EI Salvador's participant training program (see Graphic 2). In addition, they have been under-represented in certain fields of study, such as agriculture and the environment.

(only 5 percent of the trainees in agriculture were women and 17 percent in the environment) (See Graphic 3 )

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

**Customer** The immediate customers are members of the Mission SO/RPs and SO/RP teams, GOES/NGO counterparts, extended team members, customers, and institutional contractors responsible for selection of candidates for training programs. Indirect beneficiaries are the trainees from the SO/RP teams' activities.

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

#### c Information Dissemination and Coordination

The need to reengineer training at the Mission is undisputed. As a part of the National Performance Review Act, USAID/Washington is undergoing a reengineering process that has resulted in new training policies and procedures that emphasize the contribution of training to achieving the Intermediate Results. Several major studies<sup>2</sup> document the lessons learned about improving training for development and these form the basis for USAID's participatory and integrated approach to training. This information is not widely disseminated within the Mission and among the contractors and counterparts. Further, as the process is evolving, new changes will be forthcoming and need to be communicated.

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

**Customer** Host country partners, technical assistance contractors, and SO/RP teams.

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<sup>2</sup> The studies, cited on p 19 of the GTD contract are (1) Albert Gollin, 1996, "AID Participant Training Program - The Transfer and use of Development Skills " (2) Tom Moser and Laurel Elmer, 1986, "Review of Participant Training Evaluation Studies " (3) John Gillies, 1992, "Training for Development " (4) Roger Rasnake and Allan Broehl, 1994, "Strengthening Human Capacity Development Strategy of USAID/El Salvador "

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

### **Component Two Integrated Services**

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

The demand for the training services varies. However, initial responses from the interviews and the demand survey conducted by the HERNS team for the design of the HCD activity indicate sufficient interest in the courses to propose them as part of the activity. For instance, 80 percent of those responding were interested in pre-training assistance in program design. The demand for other pre-training services follows: trainee selection (64%), action plan preparation (56%), guidance on SOWs (56%), training provider selection (54%), placement services (56%), pre-departure orientation (50%), and ESL (43%).

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

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

**Customer** Trainees in all Mission SO/RP activities

**Mechanism** Core funding from the new HCD activity and contributions from the SO teams as needed

### **Component Three Training on Cross-Cutting Topics**

#### **a Leadership and Empowerment Skills**

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

Further, the challenges still facing the country require more than good technicians. They require a cadre of leaders at all levels who have the commitment, willingness, and courage

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

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

**Customer** Trainees in all Mission SO/RP activities

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

#### *b Continuing Education Training*

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

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

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

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

**Mechanism** Core funded series of independent courses and training programs, offered through a local training institution/ training specialist sub-contracted to GTD contractor in response to customer demand

## **LESSONS EARNED FROM CLASP<sup>3</sup>**

### **INTRODUCTION**

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

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

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

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

### **Training Design Factors**

CLASP has adopted a step-by-step training design procedure which incorporates the essential elements for good training into every program.

Innovative training experiences appear to be those where programs have been carefully tailored to the Trainee, receive active monitoring by the contractor, provide for meaningful interactions between the Trainees and the community, and include an intensive follow-on program.

Contractors suggest that the Trainee profile with the greatest potential to effectively apply the CLASP training experience is young, rural, an emerging leader (male or female) with basic readiness for the training, one who works well with others, and one who enjoys the support of family, community, and employer.

Non-productive training experiences tend to be those where there is

- 1 insufficient lead time to organize the appropriate program,
- 2 insufficient knowledge about the participants, and

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<sup>3</sup> Excerpts from Chapter One of the Final Report of the Caribbean and Latin American Scholarship Program Monitoring and Evaluation Contract, November 1996.

- 3 a lack of homogenous educational grouping Other less frequent contributors are insufficient language skills, campus isolation, and overloading participants with didactic presentations

In Trainee groups, homogeneity of educational levels is important to a successful program For programmatic reasons, it may be decided that the group should be heterogeneous in social class, age, etc , but program planners should make such decisions carefully and provide means which can help mitigate difficulties that may arise

Monitoring has shown that adequate lead time is crucial for selecting appropriate candidates and for allowing them to prepare for training abroad Most contractors need from 4 to 6 months lead time for long-term programs For short-term programs, the need for lead time ranges from 2 to 6 months However, the length of lead time depends on the type of training program and the closeness of contractors' ties to training institutions

A recognition of the importance of matching Trainee expectations with the actual training received has led to improved results, planning and better pre-departure orientations

The best training is that which is most directly applicable to the Trainee's job or volunteer activity, well matched with the educational capacity of the participant

CLASP encouraged the development of a *core group* or *critical mass* approach for including a sufficient number of complementary, mutually supportive people within an institution, sector or community who represent various administrative and technical levels The demonstrated effectiveness of training a *critical mass* within a particular host country counterpart institution rather than dispersing training opportunities *thinly* through many institutions has convinced many contractors and missions to adopt this approach

CLASP training requires Trainees to concentrate on outputs, impact, and training objectives by asking them to produce action plans prior to entering the training program

CLASP program objectives, recruitment strategies, and follow-on plans are agreed upon in a participatory compact between counterpart institutions, USAID, and the training contractors and providers at the very beginning of planning for training

The relevance and appropriateness of CLASP training to meeting the conditions and needs of the country is enhanced by bringing U S training providers to the country prior to the training

Group sizes ranging from 15 to 20 are frequently cited by contractors as optimum There is a feeling that a manageably-sized group outweighs the cost factor due to better logistics, group dynamics, and opportunities for interaction by the participants with North Americans

Some contractors seem to prefer smaller training institutions with fresh ideas where USAID participants are a *novelty*; community-based institutions with strong community interaction, institutions that are more *typical* and do not distort the truth about the U S , and institutions that are not isolated but are

integrated with a larger community

As the program evolved, tailor-made programs were designed to meet the needs of each CLASP group rather than depending on off-the-shelf programs which seldom address Mission-specific development goals

Missions conduct well-planned pre-training orientations to inform Trainees what to expect from their training and to encourage them to plan from the very beginning how they will apply their new skills upon their return

Trainees benefit from a well-designed Experience America component of their training in the following ways a positive regard for U S people, culture, and government, quicker adjustment and assimilation, opportunities to make new friends and contacts, first-hand experiences with volunteerism and leadership, and an understanding of how U S communities organize and mobilize on particular issues

A structured re-entry program is provided by most Missions in order to bring returned participants back into the work setting with other employees and provide immediate direction and encouragement

Training investments are exponentially leveraged when follow-on is provided to returned participants

CLASP Trainees have regularly been offered the opportunity to participate in programmed follow-on activities, including support to share their training with colleagues and fellow community members

Employers of returned participants are involved in the process so they will support returnees in applying their training experiences—taking full advantage of the new skills and knowledge of Trainees They often provide returned participants with the resources required for the transfer of skills and knowledge

The evaluation focus on performance measurement and strengthening Trainee results brings a better understanding of the importance of post-return follow-on support in the host country, and most contractors have greatly expanded follow-on activities

The best training involves not the individual Trainee, but also the Trainee's employer or supervisor This approach has been crystallized in those missions, such as El Salvador, that have begun to require a compact between Trainees, the sponsoring institutions, and USAID The compact details mutual expectations, how the Trainee is expected to apply the training, how the employer will support that application, and how USAID will work with institutions and Trainees to increase the likelihood that Trainees will truly be able to bring about change in their institutions

### **Cost Saving Practices**

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

than was generally used prior to CLASP

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

CLASP Trainees are encouraged to live on-campus which is generally cheaper than living off-campus

University and community resources are being used at no cost to contractors to cover many of the Experience America requirements of the program (e.g., arranging home visits, enabling participation in community activities, and providing visits to local and state government offices)

Contractors seek out programs with proven track records and then try to obtain the best prices possible. As many as 15 to 20 RFPs per program are sent out to these quality providers. Negotiations with those selected as the best are undertaken to increase savings.

Very short programs (less than 2 weeks) are not permitted under CLASP, given their high unit cost and the relatively limited impact they produce in meeting development goals.

Homogeneous groups of 15 to 20 Trainees are recruited and selected, since this is the most cost-effective group size.

Contractors negotiate international airfares, and travel plans are made well ahead of time to take advantage of the least expensive transportation costs.

### **Monitoring and Evaluation**

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

The positive results for programming that grew out of the monitoring and evaluation component of the program demonstrate the important role that these activities can have in providing program managers and implementers with ongoing feedback for improving the performance and outcomes of training.

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

### **A Comparative Study of CLASP and non-CLASP Trainees in El Salvador**

CLASP Trainees begin their training with a greater understanding of the goals, content and expectations of their training than non-CLASP Trainees

Most CLASP Trainees develop an action plan thereby guiding their training to prepare them to undertake specific actions

Most CLASP Trainees participate in some follow-on or monitoring activity after the completion of their training

CLASP Trainees surveyed were more likely to share their training with others than those from non-CLASP training

Some 81 percent of the CLASP Trainees surveyed indicated that they use their training on the job either *much* or *very much*

Over 85 percent of the CLASP Trainees surveyed have seen their responsibilities increase after returning home from U S training, and nearly all attribute this to CLASP

CLASP Trainees also demonstrate a higher level of volunteer activities than non-CLASP Trainees

Seventy-two percent of CLASP Trainees feel that the training has been very useful in helping them become more effective leaders

### **Conclusions**

USAID training in the future will draw on the lessons learned from the CLASP experience, but it will be strictly tied to the achievement of specific intermediate impact within the results framework Perhaps the CLASP format developed in 1994 for short-term training in El Salvador provides a useful model for the design of this kind of high impact, focused training It includes a training design which is

**integrated**, combining technical training with the interpersonal and administrative skills needed to accomplish change,

**based on a participatory approach**, which provides project managers with the collective knowledge of in-country *customers*, allowing them to give realistic design and implementation guidance,

**sustainable**, because diverse stakeholder viewpoints have been integrated to guarantee that training responds to the technical, cultural, and socioeconomic realities of the country Furthermore, the creation of *change agents* logically fosters the country's self reliance in making development a reality, and

**cost efficient**, because it focuses on the utilization of stakeholders to design and implement all development activities This results in increasing the project's applicability to host country development needs and priorities

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

### **Recommendations**

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

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**LIST OF PEOPLE INTERVIEWED**

**USAID/EI Salvador**

*Strategic Objective 1*

Mary Ott SO 1 Team Leader

*Results Package 1*

Roberto Gavidia RP1 Team Leader

Stephen Grant Team Member

Michael Cavallaro Team Member

William Harwood Team Member

Jaleh de Torres Team Member

Dorita de Gutierrez Team Member

Claudia de Jimenez Team Member

Yamilet Duran Team Member

Myriam de Oriani Team Member

*Results Package 2*

none

*Results Package 3 & 4*

Roxana Blanco RP Team Leader

Rafael Cuellar Team Member

Sandra Duarte Team Member

*Results Package 5*

Nolvia Saca RP5 Team Leader

Francisco Molina Team Member

Ligia Luna Team Member

*Strategic Objective 2*

*Results Package 1*

Sonia Silva de Caceres RP Team Leader

Elena de Albanes Team Member

Jose Carballo Team Member

Ingrid de Lacayo Team Member

Norma de Mata	Team Member
Ena de Palacios	Team Member
<i>Results Package 2</i>	
Mauricio Herrera	RP2 Team Leader
Jaleh de Torres	Team Member
<i>Results Package 3</i>	
Tom Hawk	RP3 Team Leader
Dorita de Gutierrez	Team Member
Parviz Shahidinejad	Team Member
<i>Results Package 4</i>	
<i>Strategic Objective 3</i>	
Brenda Doe	SO Health Team Leader
Jack Dale	RP Team Leader
Margarita de Lobo	Team Member
Ileana de Parraga	Team Member
Meri Sinnitt	Team Member
Martin Schulz	Team Member
Raul Toledo	MCH Team Leader
<i>Strategic Objective 4</i>	
<i>Results Package 1 &amp; 2</i>	
Rodolfo Cristales	RP1 Team Leader
Roberto Gavidia	Team Member
Yamilet Duran	Team Member
<i>Special Strategic Objective</i>	
none	
<i>Contracts Office</i>	
Manelos de Quiñonez	Contracting Assistant
<i>Controller Office</i>	
Carlos Milla	Financial Analyst
Jorge Garcia	Accounting Technician
<i>Strategic Objective Office</i>	
Peter Kranstover	SDO Director
Charles North	SDO Deputy Director
Michael Radmann	SO1 Backstop
Annie de Valencia	SO1 Education Backstop

## **Contractors**

### ***ABT***

Archer Heinzen Training Advisor

### ***Academy for Educational Development***

Ned Benner Chief of Party, Basic Education Project

### ***Catholic Relief Services***

Walter Blake Director

Luis Perdomo Vidal Trainer, Community Banking Program

### ***Centro de Apoyo a la Microempresa (CAM)***

Hilda Menjivar FINCA's Resident Advisor

Ingrid de Segovia CAM Executive Director

### ***Checchi***

Katherine Mueller Training Advisor

Mark Williams Chief of Party

### ***Crecer***

Rick Clark Chief of Party

Denise de Orellana Administrator

### ***Development Associates***

Eliseo Carrasco Chief of Party, CLASP II Project

### ***IFES***

Debra L. Gish Director, Democracy Electoral Process Project

### ***Research Triangle Institute***

Allan Austin Chief of Party

Dwight Bunce Technical Advisor

## **Counterpart Institutions**

### ***Ministry of Coordination***

Marlene Palacios Head, Training Department and Technical Assistance

### ***Ministry of Health***

Patricia Portillo de Reyes Oficina APSISA

### ***Ministry of Justice***

Technical Executive Unit

(Unidad Tecnica Ejecutiva)

Silvia Lizette Kuri de Mendoza Director of Communications

## **El Salvador Training Institutions**

### *Association of Salvadoran Trainers (ASCAP)*

Helen de Flores	Treasurer
Fidelía Herrera Torres	Vice-President
Yolanda Gabriela de Zarate	President

### *CONSADE*

Jose Angel Villeda	Director
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### *FEPADE*

Antoneta de Harwood	Project Manager Social Sector Reform/Education
Mauricio Moncada	Trainer

### *INVERCAD*

Maria Elena de Castellanos	Deputy Director
Antonio Guzman	Director

### *Universidad Francisco Gavidia*

Teresa de Mendoza	General Secretary
Mario Antonio Ruiz	Rector

**DEMAND SURVEY INSTRUMENT**

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November 4, 1996

Dear Colleagues,

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

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

services to support Result Packages in implementing cost-effective training (provided to USAID activity staff, contractors, and/or NGOs responsible for implementing training), and

training on cross-cutting topics that increase the impact of technical training (provided to intermediate and ultimate customers)

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

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

We appreciate your assistance.

Sincerely,

Melanie Sanders-Smith

Janet Kerley





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

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

**Other ideas or comments**

SO Team

RP Team

Name (optional)

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## **LOCAL INSTITUTIONS VISITED**

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

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

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

**FEPADE** (Fundacion Empresarial Para El Desarrollo Educativo), established over 10 years ago is a not-for-profit educational foundation located in San Salvador. Initially, FEPADE provided technical/vocational training to prepare skilled labor for the private sector. Over the years, the curriculum has expanded, moving into management training. With the advent of reform within the Salvadoran government and the trend towards privatization, FEPADE has added programs to assist the private sector to develop increased management

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

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

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

## **FUNCTIONS OF THE TRAINING UNIT MEMBERS**

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

Advise the GOES/NGO counterparts, partners, technical assistance contractors, and SO/RP teams about the human capacity development needs in achieving strategic objectives and results,

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

Advise SO/RP teams and their partners to collaborate with stakeholders in assessing training needs, training solutions, selecting individuals who can affect institutional performance, and developing Training Agreements,

Provide information on training courses/trainers appropriate to the RP objectives,

Advise teams on the design of training for improved performance, including the importance of the pre and post-training components as standards for reengineered training,

Support the integration of leadership and empowerment training into RP technical training,

Participate in establishing performance indicators for monitoring the training,

Collect data needed for reporting on SO #1, RP #1's training indicators,

Provide guidance on follow-on activities that will facilitate the re-entry of trainees (when appropriate) and reinforce the application of new skills, recognizing that follow-on activities are the joint responsibility of the RP team and Training Unit,

Inform RP teams about effective cost-containment measures,

Survey SO/RP teams and partners for cross-cutting training needs that could be provided by the new HCD activity,

Report to the SO/RP team leaders, and

Facilitate compliance with appropriate ADS 253 training policies and procedures, including Agency gender targets of 50 percent women and the target of 10 percent placement at HBCUs

The additional functions of each position are described below

***The Human Capacity Development Manager*** The HCDM will have overall responsibility

for "planning, coordination, and operational management of all participant training, including elements implemented by Mission training staff, strategic objective teams, contractors, the Missions' placement contractor(s), host governments and other organizations and agencies" (ADS 253 2) He/she will ensure that the principal reengineering functions related to training in the Mission are attained, as described in the functions of the staff as liaisons to SO/RP teams

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

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

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

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

**Training Assistant** will be responsible for information dissemination and coordination of Training Unit activities including

- Placement of third-country trainees not covered by GTD contractor;
- Maintenance of the database as required by ADS 253 (currently PTMS),
- Dissemination of information about ADS 253,
- Researching and maintaining the information on training courses appropriate for the GOES/NGO counterparts, partners, and customers,
- Consolidation of all SO training plans into Mission training plan,
- Preparation of periodic statistics,
- Production of the annual financial report for the Controller; and

Providing administrative support for the Training Unit,  
Other duties as assigned

***Follow-On Coordinator*** will be responsible for pre-training and follow-on activities, including

Pre-training processing and logistical arrangements for U S , third country, and in-country training,  
Reviewing Training Agreements prepared by SO/RP teams with respective Training Unit Liaison,  
Collaborating with the SO/RP teams to establish performance indicators, baseline, and targets,  
Coordinating the re-entry and follow-on programs as requested by the SO/RP teams, in conjunction with the HCD activity manager,  
Administering pre- and post-training follow-on questionnaires to assist RP teams monitor performance,  
Collecting data for training indicators, and  
Providing administrative support for the Training Unit,  
Other duties as assigned

## COUNTRY CHECKLIST FOR EL SALVADOR

**A. DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUND**

1. Narcotics Certification (FAA Sec. 490): If the recipient is a "major illicit drug producing country" (defined as a country in which during a year at least 1,000 hectares of illicit opium poppy is cultivated or harvested, or at least 1,000 hectares of illicit coca is cultivated or harvested, or at least 5,000 hectares of illicit cannabis is cultivated or harvested) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly affecting the United States, through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government):

NA; El Salvador is not a major illicit drug producing or major drug transit country

a. Has the President in the March 1 International Narcotics Control Strategy Report (INCSR) determined and certified to the Congress (without Congressional enactment, within 30 calendar days, of a resolution disapproving such a certification), that (1) during the previous year the country has cooperated fully with the United States or taken adequate steps on its own to satisfy the goals and objectives established by the U.N. Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, or that (2) the vital national interests of the United States require the provision of such assistance?

NA

b. With regard to a major illicit drug producing or drug-transit country for which the President has not certified on March 1, has the President determined and certified to Congress on any other date (with enactment by Congress of a resolution approving such

NA

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## Country Checklist

certification] that the vital national interests of the United States require the provision of assistance, and has also certified that (a) the country has undergone a fundamental change in government, or (b) there has been a fundamental change in the conditions that were the reason why the President had not made a "fully cooperating" certification.

2. **Indebtedness to U.S. Citizens (FAA Sec. 620(c)):** If assistance is to a government, is the government indebted to any U.S. citizen for goods or services furnished or ordered where: (a) such citizen has exhausted available legal remedies, (b) the debt is not denied or contested by such government, or (c) the indebtedness arises under an unconditional guaranty of payment given by such government or controlled entity?

--- We are not aware of any debts the Government of El Salvador owes to any U.S. citizen for goods or services that meet the criteria set forth in this section.

3. **Seizure of U.S. Property (Foreign Relations Authorization Act, Fiscal Years 1994 and 1995, Sec. 527):** If assistance is to a government, has it (including any government agencies or instrumentalities) taken any action on or after January 1, 1956 which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them which (during the period specified in subsection (c) of this section) either retaining the property, providing adequate and effective compensation for the property, offering a domestic procedure providing prompt, adequate, and effective compensation for the property, or submitting the dispute to international arbitration? If the actions of the government would otherwise prohibit assistance, has the President waived this prohibition and so notified Congress that it was in the national interest to do so?

No.

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4. **Communist and Other Countries (FAA Sec. 620(a), 620(f), 620D; FY 1997**

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Appropriations Act Secs. 507, 523): Will assistance be provided: (a) to China, Cuba, North Korea, Tibet, Vietnam or another Communist country; (b) directly to Cuba, Iraq, Libya, North Korea, Iran, Sudan or Syria; or (c) indirectly to China, Cuba, Iran, Iraq, Libya, North Korea, or Syria? If so, has the President made the necessary determinations to allow assistance to be provided?

No. El Salvador is not a communist country.

5. Mob Action (FAA Sec. 620(j)): Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property? [Reference may be made to the "Taking into Consideration" memo.]

No.

6. OPIC Investment Guaranty (FAA Sec. 620(l)): Has the country failed to enter into an investment guaranty agreement with OPIC? [Reference may be made to the annual "Taking into Consideration" memo.]

No.

7. Seizure of U.S. Fishing Vessels (FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5): (a) Has the country seized, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made? [Reference may be made to the annual "Taking into Consideration" memo.]

No.

8. Loan Default (FAA Sec. 620(g); FY 1995 Appropriations Act Sec. 512 (Brooke Amendment)): (a) Has the government of the recipient country been in default for more than six months on interest or principal of any loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1995 Appropriations Act appropriates funds?

No.

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9. **Military Equipment (FAA Sec. 620(s)):** If contemplated assistance is development loan or to come from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget and amount of the country's foreign exchange or other resources spent on military equipment? [Reference may be made to the annual "Taking Into Consideration" memo.]

Yes. Taken into account by the Administrator at the time of approval of the FY 1997 OYB.

10. **Diplomatic Relations with U.S. (FAA Sec. 620(t)):** Has the country severed diplomatic relations with the United States? If so, have relations been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

No.

11. **U.N. Obligations (FAA Sec. 620(u)):** What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the A.I.D. Administrator in determining the current A.I.D. Operational Year Budget? [Reference may be made to the annual "Taking into Consideration" memo.]

El Salvador's U.N. arrearages, both in general and for purposes of Article 19 of the U.N. Charter, were taken into account by the Administrator at the time of approval of the FY 1997 OYB.

12. **International Terrorism**

a. **Sanctuary and Support (FY 1997 Appropriations Act Sec. 527A; FAA Sec. 620A):** Has the country been determined by the President to: (a) grant sanctuary from prosecution to any individual or group which has committed an act of international terrorism, or (b) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons?

No.

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b. **Compliance with UN Sanctions (FY 1997 Appropriations Act Sec. 534):** Is assistance being provided to a country not in compliance with UN sanctions against Iraq, Serbia, or Montenegro. If so, has the President

No.

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## Country Checklist

made the necessary determinations to allow assistance to be provided?

c. **Governments That Aid Terrorist States.** (FAA Section 620G, added by section 325 of the Antiterrorism and Effective Death Penalty Act of 1996, P.L. 104-132, April 24, 1996): Is assistance being provided to a government which provides assistance to a country the government of which is a terrorist government under section 620A of the FAA? If so, has the President made the necessary determinations to allow assistance to be provided?

No.

13. **Export of Lethal Military Equipment** (E 1997 Appropriations Act Sec. 552; E 620H, added by section 326 of the Antiterrorism and Effective Death Penalty Act of 1996, P.L. 104-132, April 24, 1996): Is assistance being made available to a government which provides lethal military equipment to a country the government of which is a terrorist government under sections 620A of the E 6(j) of the Export Administration Act (50 U.S.C. App. 2405(j)) or 40(d) of the Arms Export Control Act? If so, has the President made the necessary determinations to allow assistance to be provided?

No.

14. **Discrimination (FAA Sec. 666(b)):** Is the country object, on the basis of race, religion, national origin or sex, the presence of any officer or employee of the U.S. who is present in the country to carry out economic development programs under the FAA?

No.

15. **Nuclear Technology (Arms Export Control Act Secs. 101, 102):** Has the country, after August 3, 1977, delivered any other country or received nuclear equipment or reprocessing equipment, materials, or technology, without notified arrangements or safeguards, without special certification by the President? Has it transferred a nuclear explosive device to a non-nuclear weapon

No.

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## Country Checklist

state, or if such a state, either received or detonated a nuclear explosive device? If the country is a non-nuclear weapon state, has it, on or after August 8, 1985, exported (or attempted to export) illegally from the United States any material, equipment, or technology which would contribute significantly to the ability of a country to manufacture a nuclear explosive device? [FAA Sec. 620E(d) permits a special waiver of Sec. 161 for Pakistan.]

16. Algiers Meeting (ISDCA of 1981, Sec. 720): Was the country represented at the Meeting of Ministers of Foreign Affairs and Heads of Delegations of the Non-Aligned Countries to the 36th General Assembly of the U.N. on Sept. 25 and 28, 1981, and did it fail to disassociate itself from the communique issued? If so, has the President taken it into account? [Reference may be made to the "Taking into Consideration" mem.]

17. Military Coup (FY 1997 Appropriations Act Sec. 508): Has the duly elected Head of Government of the country been deposed by military coup or decree? If assistance has been terminated, has the President notified Congress that a democratically elected government has taken office prior to the resumption of assistance?

18. Exploitation of Children (FAA Sec. 1184): Does the recipient government fail to take appropriate and adequate measures, within its means, to protect children from exploitation, abuse or forced conscription into military or paramilitary services?

19. Parking Fines (FY 1997 Appropriations Act Sec. 552): Has the overall assistance allocation of funds for a country taken into account the requirements of this section to reduce assistance by 110 percent of the amount

No.

No.

No.

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FY 1997 obligations will be reduced by 110% of the amount of any unpaid parking fines owed to the District of

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Country Checklist

of unpaid parking fines owed to the District of Columbia as of the date of enactment of the FY 1997 Appropriations Act, September 30, 1996?

Columbia as determined by N/B.

20. Delivery of Humanitarian Assistance (FAI Sec. 6201, added by FY 1997 Appropriations Act Sec. 559 562): Has the government prohibited or otherwise restricted, directly or indirectly the transport or delivery of United States humanitarian assistance? If so, has the President made the necessary determination to allow assistance to be provided?

No.

no.

21. Nuclear Power Plant in Cuba (Sec. 111 of the LIBERTAD Act, P.L. 104-114, March 12, 1996): Has the country or any entity in the country provided on after the dates of enactment of the FY 1996 Appropriations Act, January 27, 1996, or the LIBERTAD Act, March 12, 1996, assistance or credits in support of the Cuban nuclear facility at Juragua, Cuba. If so, has the overall assistance allocation of funds for that country taken into account the requirements of this section to withhold assistance equal to the sum of any such assistance or credits?

22. Harboring War Criminals (FY 1997 Appropriations Act Sec. 568): Has the government knowingly granted sanctuary to persons in its territory for the purpose of evading prosecution, where such persons--

No.

a. have been indicted by the International Criminal Tribunal for the former Yugoslavia, the International Criminal Tribunal for Rwanda, or any other international tribunal with which the United States has standing under international law or

No.

b. have been indicted for war crimes or crimes against humanity committed during the period beginning May 8, 1945, and ending on May 8, 1948,

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1945 under the direction of, or in association with (1) the Nazi government of Germany; (2) any government in any area occupied by the military forces of the Nazi government of Germany; (3) any government which was established with the assistance or cooperation of the Nazi government; or (4) any government which was an ally of the Nazi government of Germany?

B. DEVELOPMENT ASSISTANCE ONLY

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

No:

C. ECONOMIC SUPPORT FUND ONLY

Human Rights Violations (FAA Sec. 502B): Has it been determined that the country has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, has the President found that the country made such significant improvement in its human rights record that furnishing such assistance is in the U.S. national interest?

No:

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LAC/CEN:KSmith/cklist.esn/11/12/96:7-4535

Clearances:

LAC/CEN:LAYHIDE	Date:	
LAC/SAN:TKellerman	Date:	12/4/96
LAC/SPM:JWeber	Date:	12/4/96
LAC/DPB:RJordan	Date:	12/8/96
LAC/GC:SAllen	Date:	12/12/96
ARA/CEN:JFeeley	Date:	12/6/96
State/IO/S/B:BLEIS	Date:	12/5/96
State/INL/P:KBryson	Date:	12/3/96
State/DRL/AAA:PLahey	Date:	01/5/96
State/M/OFM/VTC:JCintron	Date:	01/5/96

John Fuchs - by  
James Titus  
David Hunt

8/13

## ASSISTANCE CHECKLIST

### II ASSISTANCE CHECKLIST

Listed below are criteria applicable to the assistance resources themselves, rather than to the eligibility of a country to (A) both DA and ESF assistance, (B) DA only, or (C) ESF only

CROSS REFERENCE IS COUNTRY CHECKLIST UP TO DATE? Yes  
Approved & updated  
as of 12/12/96

#### A DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUND

##### 1 Congressional Notification

- |   |     |
|---|-----|
| <p>a <b>General Requirement</b> (FY 1997 Appropriations Act Sec 515, FAA Sec 634A) If the obligation has not previously justified to Congress, or is for an amount in excess of the amount previously justified to Congress, has a Congressional Notification been made?</p>  | No  |
| <p>b <b>Special Notification Requirement</b> (FY 1997 Appropriations Act, "Burma" and "NIS" Title II headings and Sec 520) For obligations for NIS countries, Burma, Colombia, Guatemala (except development assistance), Dominican Republic, Haiti, Liberia, has a Congressional Notification been submitted, regardless of any justification in the Congressional Presentation?</p> | N/A |
| <p>c <b>Notice of Account Transfer</b> (FY 1997 Appropriations Act Sec 509) If funds are being obligated under an appropriation account to which they were not appropriated, has the President consulted with and provided a written justification to the House and Senate Appropriations Committees?</p>   | N/A |
| <p>d <b>Cash Transfers and Nonproject Sector Assistance</b> (FY 1997 Appropriations Act Sec 531(b)(3)) If funds are to be made available in the form of cash transfer or nonproject sector assistance, has the Congressional</p>  | N/A |

PL

notice included a detailed description of how the funds will be used, with a discussion of U S interests to be served and a description of any economic policy reforms to be promoted?

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

**3 Legislative Action (FAA Sec 611(a)(2))** If the obligation is in excess of \$500,000 and requires legislative action within the recipient country, what is the basis for a reasonable expectation that such action will be completed in time to permit orderly accomplishment of the purpose of the assistance? N/A

**4 Water Resources (FAA Sec 611(b))** If the assistance is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U S C 1962, et seq)? N/A

**5 Cash Transfer/Nonproject Sector Assistance Requirements (FY 1997 Appropriations Act Sec 531)** If assistance is in the form of a cash transfer or nonproject sector assistance N/A

**a Separate Account** Are all such cash payments to be maintained by the country in a separate account and not commingled with any other funds (unless such requirements are waived by Congressional notice for nonproject sector assistance)? N/A

**b Local Currencies** If assistance is furnished to a foreign government under arrangements which result in the generation of local currencies N/A

(1) Has A I D (a) required that local currencies be deposited in a separate account established by the recipient government, (b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of A I D and that government to monitor and account for deposits into and disbursements from the separate account? N/A

(2) Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters N/A

of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government?

(3) Has A I D taken all necessary steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes? N/A

(4) If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government? N/A

6 Capital Assistance (FAA Sec 611(e)) If capital assistance is proposed (e g , construction), and total U S assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability to maintain and utilize the assistance effectively? N/A

7 Local Currencies

a Recipient Contributions (FAA Secs 612(b), 636(h)) Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U S are utilized in lieu of dollars Counterpart contributions (a) salaries of participants, (b) cost of international travel

b US-Owned Foreign Currencies

(1) Use of Currencies (FAA Secs 612(b), 636(h)) Are steps being taken to assure that, to the maximum extent possible, foreign currencies owned by the U S are utilized in lieu of dollars to meet the cost of contractual and other services N/A

(2) Release of Currencies (FAA Sec 612(d)) Does the U S own non-PL 480 excess foreign currency of the country and, if so, has the agency endeavored to obtain agreement for its release in an amount equivalent to the dollar amount of the assistance? N/A

8 Trade Restrictions - Surplus Commodities (FY 1997 Appropriations Act Sec 513(a)) If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U S producers of the same, similar or competing commodity? N/A

9 **Environmental Considerations** (FAA Sec 117, USAID Regulation 16, 22 CFR Part 216) Have the environmental procedures of USAID Regulation 16 been met? N/A

10 **PVO Assistance**

a **Auditing** (FY 1997 Appropriations Act Sec 550) If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of USAID? N/A

b **Funding Sources** (FY 1997 Appropriations Act, Title II, under heading "Private and Voluntary Organizations") If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government? If not, has the requirement been waived? N/A

11 **Agreement Documentation** (Case-Zablocki Act, 1 U S C Sec 112b, 22 C F R Part 181) For any bilateral agreement over \$25 million, has the date of signing and the amount involved been cabled to State L/T immediately upon signing and has the full text of the agreement been pouched to State/L within 20 days of signing? N/A

12 **Metric System** (Omnibus Trade and Competitiveness Act of 1988 Sec 5164, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec 2, and as implemented through A I D policy) Does the assistance activity use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will A I D specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage? Yes

13 **Abortions** (FAA Sec 104(f), FY 1997 Appropriations Act, Title II, under heading " Development Assistance" and Sec 518) N/A

a Are any of the funds to be used for the performance of abortions as

a method of family planning or to motivate or coerce any person to practice abortions? (Note that the term "motivate" does not include the provision, consistent with local law, of information or counseling about all pregnancy options ) No

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

c Are any of the funds to be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization? No

d Will funds be made available only to voluntary family planning projects which offer, either directly or through referral to, or information about access to, a broad range of family planning methods and services? (As a legal matter, DA only ) No

e In awarding grants for natural family planning, will any applicant be discriminated against because of such applicant's religious or conscientious commitment to offer only natural family planning? (As a legal matter, DA only ) No

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

g Are any of the funds to be made available to any organization if the President certifies that the use of these funds by such organization would violate any of the above provisions related to abortions and involuntary sterilization? No

#### 14 Procurement

a. **Source, Origin and Nationality** (FAA Sec 604(a) Will all procurement be from the U S , the recipient country, or developing countries except as otherwise determined in accordance with the criteria of this section? Yes

b **Marine Insurance** (FAA Sec 604(d)) If the cooperating country discriminates against marine insurance companies authorized to do business in the U S., will commodities be insured in the United States against marine risk with such a company? N/A

**c Insurance (FY 1997 Appropriations Act Sec 528A)** Will any A I D contract and solicitation, and subcontract entered into under such contract, include a clause requiring that U S insurance companies have a fair opportunity to bid for insurance when such insurance is necessary or appropriate? Yes

**d Non-U S Agricultural Procurement (FAA Sec 604(e))** If non-U S procurement of agricultural commodity or product thereof is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity? (Exception where commodity financed could not reasonably be procured in U S ) N/A

**e Construction or Engineering Services (FAA Sec 604(g))** Will construction or engineering services be procured from firms of advanced developing countries which are otherwise eligible under Code 941 and which have attained a competitive capability in international markets in one of these areas? (Exception for those countries which receive direct economic assistance under the FAA and permit United States firms to compete for construction or engineering services financed from assistance programs of these countries ) N/A

**f Cargo Preference Shipping (FAA Sec 603))** Is the shipping excluded from compliance with the requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 percent of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U S flag commercial vessels to the extent such vessels are available at fair and reasonable rates? N/A

**g Technical Assistance (FAA Sec 621(a))** If technical assistance is financed, will such assistance be furnished by private enterprise on a contract basis to the fullest extent practicable? Will the facilities and resources of other Federal agencies be utilized, when they are particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs? Yes

**h. U.S Air Carriers (Fly America Act, 49 U S C Sec 1517)** If air transportation of persons or property is financed on grant basis, will U S carriers be used to the extent such service is available? Yes

**i Consulting Services (FY 1997 Appropriations Act Sec 549)** If assistance is for consulting service through procurement contract pursuant to 5 U S C 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)? Yes

**J Notice Requirement (FY 1997 Appropriations Act Sec 561)** Will agreements or contracts contain notice consistent with FAA section 604(a) and with the sense of Congress that to the greatest extent practicable equipment and products purchased with appropriated funds should be American-made? Yes

**15 Construction**

**a Capital Assistance (FAA Sec 601(d))** If capital (e g , construction) assistance, will U S engineering and professional services be used? N/A

**b Large Projects - Congressional Approval (FAA Sec 620(k))** If for construction of productive enterprise, will aggregate value of assistance to be furnished by the U S not exceed \$100 million (except for productive enterprises in Egypt that were described in the Congressional Presentation), or does assistance have the express approval of Congress? N/A

**16 U S Audit Rights (FAA Sec 301(d))** If fund is established solely by U S contributions and administered by an international organization, does Comptroller General have audit rights? N/A

**17 Communist Assistance (FAA Sec 620(h))** Do arrangements exist to insure that United States foreign aid is not used in a manner which, contrary to the best interests of the United States, promotes or assists the foreign aid projects or activities of the Communist-bloc countries? Yes

**18 Narcotics**

**a Cash Reimbursements (FAA Sec 483)** Will arrangements preclude use of financing to make reimbursements, in the form of cash payments, to persons whose illicit drug crops are eradicated? Yes

**b Assistance to Narcotics Traffickers (FAA Sec 487)** Will arrangements take "all reasonable steps" to preclude use of financing to or through individuals or entities which we know or have reason to believe have either (1) been convicted of a violation of any law or regulation of the United States or a foreign country relating to narcotics (or other controlled substances), or (2) been an illicit trafficker in, or otherwise involved in the illicit trafficking of, any such controlled substance? Yes

**19 Expropriation and Land Reform (FAA Sec 620(g))** Will assistance preclude use of financing to compensate owners for expropriated or nationalized property, except to compensate foreign nationals in accordance Yes

with a land reform program certified by the President?

20 **Police and Prisons** (FAA Sec 660) Will assistance preclude use of financing to provide training, advice, or any financial support for police, prisons, or other law enforcement forces, except for narcotics programs? Yes

21 **CIA Activities** (FAA Sec 662) Will assistance preclude use of financing for CIA activities? Yes

22 **Motor Vehicles** (FAA Sec 636(i)) Will assistance preclude use of financing for purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U S , unless a waiver is obtained? Yes

23 **Export of Nuclear Resources** (FY 1995 Appropriations Act Sec 506) Will assistance preclude use of financing to finance, except for purposes of nuclear safety, the export of nuclear equipment, fuel, or technology? Yes

24 **Publicity, Propaganda and Lobbying** (FY 1997 Appropriations Act Sec 546, Anti-Lobbying Act, 18 U S C § 1913, Sec 109(1) of the Foreign Relations Authorization Act, Fiscal Years 1988 and 1989, P L 100-204) Will assistance be used to support or defeat legislation pending before Congress, to influence in any way the outcome of a political election in the United States, or for any publicity or propaganda purposes not authorized by Congress? No

25 **Commitment of Funds** (FAA Sec 635(h)) Does a contract or agreement entail a commitment for the expenditure of funds during a period in excess of 5 years from the date of the contract or agreement? No

26 **Impact on U S Jobs** (FY 1997 Appropriations Act, Sec 538)

a Will any financial incentive be provided to a business located in the U S for the purpose of inducing that business to relocate outside the U S in a manner that would likely reduce the number of U S employees of that business? No

b Will assistance be provided for the purpose of establishing or developing an export processing zone or designated area in which the country's tax, tariff, labor, environment, and safety laws do not apply? If so, has the President determined and certified that such assistance is not likely to cause a loss of jobs within the U S ? No

c Will assistance be provided for a project or activity that contributes

to the violation of internationally recognized workers rights, as defined in section 502(a)(4) of the Trade Act of 1974, of workers in the recipient country, or will assistance be for the informal sector, micro or small-scale enterprise, or smallholder agriculture?	No
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**B DEVELOPMENT ASSISTANCE ONLY**

<p><b>1 Agricultural Exports (Bumpers Amendment)(FY 1997 Appropriations Act Sec 513(b)), as interpreted by the conference report for the original enactment) If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities (a) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U S exporters of a similar agricultural commodity, or (b) in support of research that is intended primarily to benefit U S producers?</b></p>	N/A
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<p><b>2 Recipient Country Contribution (FAA Secs 110, 124(d)) Will the recipient country provide at least 25 percent of the costs of the activity with respect to which the assistance is to be furnished or is this cost-sharing requirement being waived for a "relatively least developed" country?</b></p>	Yes
--	-----

**3 Forest Degradation (FAA Sec 118)**

<p><b>a Will assistance be used for the procurement or use of logging equipment? If so, does the an environmental assessment indicate that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems?</b></p>	No
---	----

<p><b>b Will assistance be used for (1) actions which will significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas, (2) activities which would result in the conversion of forest lands to the rearing of livestock, (3) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undergraded forest lands, (4)the colonization of forest lands, or (5) the construction of dams or other water control structures which flood relatively undergraded forest lands? If so, does the environmental assessment indicate that the activity will contribute significantly and directly to improving</b></p>	No
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the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?

**4 Deobligation/Reobligation** (FY 1997 Appropriations Act Sec 510) If deob/reob authority is sought to be exercised under section 510 in the provision of DA assistance, are the funds being obligated for the same general purpose and for countries within the same region as originally obligated, and have the House and Senate Appropriations Committees been properly notified? [Note Compare to no-year authority under section 511 ] N/A

**5 Capital Assistance** (Jobs Through Export Act of 1992, Secs 303 and 306(d)) If assistance is being provided for a capital activity, is the activity developmentally sound and will it measurably alleviate the worst manifestations of poverty or directly promote environmental safety and sustainability at the community level? N/A

**6 Loans**

**a Repayment Capacity** (FAA Sec 122(b)) Information and conclusion on capacity of the country to repay the loan at a reasonable rate of interest N/A

**b Long-Range Plans** (FAA Sec 122(b)) Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities? N/A

**c Interest Rate** (FAA Sec 122(b)) If development loan is repayable in dollars, is interest rate at least 2 percent per annum during a grace period which is not to exceed ten years, and at least 3 percent per annum thereafter? N/A

**d Exports to United States** (FAA Sec 620(d)) If assistance is for any productive enterprise which will compete with U S enterprises, is there an agreement by the recipient country to prevent export to the U S of more than 20 percent of the enterprise's annual production during the life of the loan, or has the requirement to enter into such an agreement been waived by the President because of a national security interest? N/A

**7 Planning and Design Considerations** Has agency guidance or the planning and design documentation for the specific activity taken into account the following, as applicable?

**a Economic Development** FAA Sec 101(a) requires that the activity give reasonable promise of contributing to the development of

economic resources or to the increase of productive capacities and self-sustaining economic growth Yes

**b Special Development Emphases** FAA Secs 102(b), 113, 281(a)) require that assistance (1) effectively involve the poor in development by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U S institutions, (2) encourage democratic private and local governmental institutions, (3) support the self-help efforts of developing countries, (4) promote the participation of women in the national economies of developing countries and the improvement of women's status, and (5) utilize and encourage regional cooperation by developing countries Yes

**c Development Objectives** FAA Secs 102(a), 111, 113, 281(a) require that assistance (1) effectively involve the poor in development, by expanding access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using the appropriate U S institutions, (2) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions, (3) support the self-help efforts of developing countries, (4) promote the participation of women in the national economies of developing countries and the improvement of women's status, and (5) utilize and encourage regional cooperation by developing countries? Yes

**d. Agriculture, Rural Development and Nutrition, and Agricultural Research** FAA Secs 103 and 103A require that (1) **Rural poor and small farmers** assistance for agriculture, rural development or nutrition be specifically designed to increase productivity and income of rural poor, and assistance for agricultural research take into account the needs of small farmers and make extensive use of field testing to adapt basic research to local conditions, (2) **Nutrition** assistance be used in coordination with efforts carried out under FAA Section 104 (Population and Health) to help improve nutrition of the people of developing countries through encouragement of increased production of crops with greater nutritional value, improvement of planning, research, and education with respect to nutrition, particularly with reference to improvement and expanded use of indigenously produced foodstuffs, and the undertaking of pilot or demonstration programs explicitly addressing the problem of malnutrition of poor and vulnerable people, (3) N/A

**Food security** assistance increase national food security by improving food policies and management and by strengthening national food reserves, with particular concern for the needs of the poor, through measures encouraging domestic production, building national food reserves, expanding available storage facilities, reducing post harvest food losses, and improving food distribution

**e Population and Health** FAA Secs 104(b) and (c) require that assistance for population or health activities emphasize low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems, and other modes of community outreach Yes

**f Education and Human Resources Development** FAA Sec 105 requires that assistance for education, public administration, or human resource development (1) strengthen nonformal education, make formal education more relevant, especially for rural families and urban poor, and strengthen management capability of institutions enabling the poor to participate in development, and (2) provide advanced education and training of people of developing countries in such disciplines as are required for planning and implementation of public and private development activities Yes

**g Energy, Private Voluntary Organizations, and Selected Development Activities** FAA Sec 106 requires that assistance for energy, private voluntary organizations, and selected development problems may be used for (1) data collection and analysis, the training of skilled personnel, research on and development of suitable energy sources, and pilot projects to test new methods of energy production, and facilitative of research on and development and use of small-scale, decentralized, renewable energy sources for rural areas, emphasizing development of energy resources which are environmentally acceptable and require minimum capital investment, (2) technical cooperation and development, especially with U S private and voluntary, or regional and international development, organizations, (3) research into, and evaluation of, economic development processes and techniques, (4) reconstruction after natural or manmade disaster and programs of disaster preparedness, (5) special development problems, and to enable proper utilization of infrastructure and related projects funded with earlier U S assistance, (6) urban development, especially small, labor-intensive enterprises, marketing systems for small producers, and financial or other institutions to help urban poor participate in economic and social development Yes

**h. Appropriate Technology** FAA Sec 107 requires that assistance

emphasize use of appropriate technology (defined as relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor) Yes

1 **Tropical Forests** FAA Sec 118 and FY 1991 Appropriations Act Sec 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act) require that N/A

(1) **Conservation** assistance place a high priority on conservation and sustainable management of tropical forests and specifically (i) stress the importance of conserving and sustainably managing forest resources, (ii) support activities which offer employment and income alternatives to those who otherwise would cause destruction and loss of forests, and help countries identify and implement alternatives to colonizing forested areas, (iii) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management, (iv) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices, (v) help conserve forests which have not yet been degraded by helping to increase production on lands already cleared or degraded, (vi) conserve forested watersheds and rehabilitate those which have been deforested, (vii) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing, (viii) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation, (ix) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected areas a condition of support for activities involving forest clearance or degradation, and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas, (x) seek to increase the awareness of U S Government agencies and other donors of the immediate and long-term value of tropical forests, (xi) utilize the resources and abilities of all relevant U S government agencies, (xii) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land, and (xiii) take full account of the environmental impacts of the proposed activities on biological diversity N/A

(2) **Sustainable Forestry** assistance relating to tropical forests assist countries in developing a systematic analysis of the appropriate use of their total tropical forest resources, with the goal of developing a national program for sustainable forestry N/A

**j Biological Diversity** FAA Sec 119(g) requires that assistance (i) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity, (ii) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other wildlife habitats, (iii) support efforts to identify and survey ecosystems in recipient countries worthy of protection, or (iv) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas N/A

**k Benefit to Poor Majority** FAA Sec 128(b) requires that if the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, it be designed and monitored to ensure that the ultimate beneficiaries are the poor majority Yes

**l Indigenous Needs and Resources** FAA Sec 281(b) requires that an activity recognize the particular needs, desires, and capacities of the people of the country, utilize the country's intellectual resources to encourage institutional development, and support civic education and training in skills required for effective participation in governmental and political processes essential to self-government Yes

**m Energy** FY 1991 Appropriations Act Sec 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act) requires that assistance relating to energy focus on (1) end-use energy efficiency, least-cost energy planning, and renewable energy resources, and (2) the key countries where assistance would have the greatest impact on reducing emissions from greenhouse gases N/A

**n Debt-for-Nature Exchange** FAA Sec 463 requires that assistance which will finance a debt-for-nature exchange (1) support protection of the world's oceans and atmosphere, animal and plant species, or parks and reserves, or (2) promote natural resource management, local conservation programs, conservation training programs, public commitment to conservation, land and ecosystem management, or regenerative approaches in farming, forestry, fishing, and watershed management N/A

### **C ECONOMIC SUPPORT FUND ONLY**

**1 Economic and Political Stability (FAA Sec 531(a))** Does the design and planning documentation demonstrate that the assistance will promote economic and political stability? To the maximum extent feasible, is this assistance consistent with the policy directions, purposes, and programs of Part I of the N/A

FAA?

2 **Military Purposes** (FAA Sec 531(e)) Will this assistance be used for military or paramilitary purposes?

N/A

3 **Commodity Grants/Separate Accounts** (FAA Sec 609) If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made? (For FY 1997, this provision is superseded by the separate account requirements of FY 1997 Appropriations Act Sec 532(a), see Sec 532(a)(5) )

N/A

4 **Generation and Use of Local Currencies** (FAA Sec 531(d)) Will ESF funds made available for commodity import programs or other program assistance be used to generate local currencies? If so, will at least 50 percent of such local currencies be available to support activities consistent with the objectives of FAA sections 103 through 106? (For FY 1997, this provision is superseded by the separate account requirements of FY 1997 Appropriations Act Sec 532(a), see Sec 532(a)(5) )

N/A

5 **Capital Activities** (Sec 306, Jobs Through Exports Act of 1992, P L 102-549, 22 U S C 2241a) If assistance is being provided for a capital project, will the project be developmentally-sound and sustainable, i e , one that is (a) environmentally sustainable, (b) within the financial capacity of the government or recipient to maintain from its own resources, and (c) responsive to a significant development priority initiated by the country to which assistance is being provided

N/A

**ADS SUPPLEMENTARY REFERENCE 202 6 3**

**ANNEX M**

**INSERT CONGRESSIONAL NOTIFICATION**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
ACTIVITY DATA SHEET

ANNEX M

PROGRAM

CP 81-05 (4-85)

TITLE Human Capacity Development (HCD)		FUNDING SOURCE DA	PROPOSED OBLIGATION (In thousands of dollars) \$700			
			FY 97 DA \$700	LIFE OF PROJECT (Auth ) \$5,700		
GRANT <input checked="" type="checkbox"/>	LOAN <input type="checkbox"/>	NEW <input checked="" type="checkbox"/> CONTINUING <input type="checkbox"/>	PRIOR REFERENCE FY 97 CP Pg 172	INITIAL OBLIGATION FY 97	ESTIMATED FINAL OBLIGATION FY 2002	ESTIMATED COMPLETION DATE OF PROJECT FY 2002

**Purpose:** The purpose of this Activity is to facilitate and maximize the impact of training interventions in all of the Mission's strategic objectives (SO)

**Background:** USAID/El Salvador has relied on the Caribbean and Latin American Scholarship Program (CLASP) for the past seven years to meet most of its training needs. During this period the Mission and the Agency have learned valuable lessons about the most effective and cost-efficient ways to conduct training. The development of human capacity continues to be a key ingredient in achieving lasting results under the Mission's new strategy. The Mission therefore needs a new training Activity that builds on past lessons learned to provide these training services.

**Activity Description:** The Activity will support all Mission activities and strategic objective teams to maximize the effectiveness of training interventions. This will be done through an Activity financed Training Unit within the Mission working with a US contractor and local subcontractors. The Training Unit and contractors will provide advisory services to SO teams and their partner institutions in training planning and design. For actual training events managed under this Activity the following services will be provided: pre-training orientation, post-training follow-on services, training placement, administrative support for training events, processing of scholars, as well as pre-departure orientation/training and follow-on support. The cost of the training event will be borne by the requesting SO/Activity. Funds also will be reserved within the Activity to finance training interventions in direct support of the economic growth strategic objective. The Activity will also finance leadership and empowerment training to complement and enhance technical training.

**Sustainability:** The Activity will build on the Agency's experience that institutional commitment and involvement in design, training of a critical mass within an organization and follow-on activities are necessary for the sustainable adoption of training material.

**Relationship to USAID Strategy:** The Activity directly supports the achievement of the result "Better educated rural residents" under the Strategic Objective "Expanded Access and Economic Opportunity for El Salvador's Rural Poor". By facilitating the training interventions of other strategic objectives the Activity is contributing to the achievement of all strategic objectives.

**Host Country and Other Donors:** There is no single host country counterpart institution participating in this Activity. However, within each SO counterparts have been identified and will be required to fund a portion of training costs as specified in their agreements.

**Beneficiaries:** The Activity directly benefits rural customers, partners and GOES/NGO counterparts.

**Results:** By the end of the Activity the reengineered training guidelines will have been institutionalized in all participating GOES/NGO institutions and civil society groups, which should result in improved performance at the individual, institutional, and sectoral levels. Critical mass groups as change agents will impact the quality of life of rural residents with emphasis on women, youth, and children as well as on selected model municipalities. In-country, third country and US training of human resources will enhance institutions responsible for delivery of all Mission's strategic objective results, thus contributing to achievement of a) expanded access and economic opportunity for rural poor, b) more inclusive and effective democratic processes; c) sustainable improvement in health of women and children; and d) increased access by rural households to clean water. The HCD cross-cutting approach will facilitate the consolidation of the peace process and the alleviation of poverty within the context of sustainable democracy and development.

U S FINANCING (In thousands of dollars)				PRINCIPAL CONTRACTORS OR AGENCIES A U S Contractor and one or more local Subcontractors
	Obligations	Expenditures	Unliquidated	
Through September 30, 1996	0	0	0	
Estimated Fiscal Year 1997	700	0		
Estimated Through September 30,	700	0	0	
		Future Year Obligations	Estimated Total Cost	
Proposed Fiscal Year 1998	1200	3 800	5 700	

ANNEX N

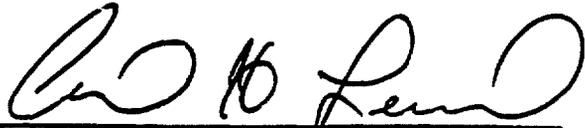


Agency for International Development  
United States of America A.I.D.  
c/o American Embassy  
San Salvador, El Salvador, C.A.

*Productive Resources Office*

CATEGORICAL EXCLUSION OF INITIAL ENVIRONMENTAL EXAMINATION

Activity Location	El Salvador
Activity title	Human Capacity Development
Project Number	519-0432
Funding	\$5,500,000
Life Of Project.	Five and one-half Years
IEE Prepared BY	Peter H. Gore Environmental Officer USAID/El Salvador
Recommended Threshold Decision	Categorical Exclusion
Mission Threshold Decision.	Concur with Recommendation
Date Prepared	December 26, 1996

  
\_\_\_\_\_  
Carl H. Leonard  
Mission Director

12/27/96  
\_\_\_\_\_  
Date

CATEGORICAL EXCLUSION OF INITIAL ENVIRONMENTAL EXAMINATION

HCD -- Human Capacity Development

(519-0432)

I Activity Description

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

Activity actions are grouped in four components.

Component 1 Technical Assistance to Strategic Objective and Results Package teams

Under this component, Advisory services will be provided as a management support service to all SO/RP teams. A series of workshops will be offered on Training as a Development Tool, performance analysis to identify human capacity constraints, designing and accounting for results, the value of the "total learning experience" training, and monitoring and reporting results.

Component 2 Integrated Services

This component will provide a package of Administrative Support Services for U S, third country placement, and in-country training. In addition, the component covers pre-training services, training placement, and administrative support services for training events.

Component 3 Training on Cross-Cutting Topics

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

#### Component 4      Training Assistance for a Reengineered Training Unit

Under this component, the Training Unit will benefit from an externally conducted management review of processes, documents, and approaches currently employed by the Unit. Based on the results of the management review, a plan will be developed for training assistance for a reengineered Training Unit. The purpose of this plan will be to help the staff provide advisory and support services more efficiently and effectively as contributors and full members of SO/PR teams.

#### II      Recommendation

Since the actions contemplated under this Activity will not have an effect on the natural or physical environment, this Activity qualifies for Categorical Exclusion of Initial Environmental Examination under Section 216.2(c)(2)(i), "Education, technical assistance, or training," and (iii) "Analyses, studies, academic or research workshops and meetings," of 22CFR



U.S. AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

LAC-IEE-97-03

**REQUEST FOR A CATEGORICAL EXCLUSION**

Project Location : El Salvador

Project Title : Better Educated/Trained Rural Residents Results Package

Project Number : 519-0357  
519-0361  
519-0315  
519-0410  
519-0401  
519-0432

Funding : See attached

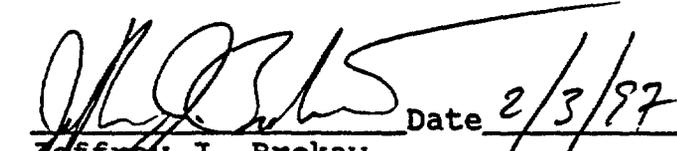
Life of Project : See attached

IEE Prepared by : Peter Gore, MEO

Recommended Threshold Decision: Categorical Exclusion

Bureau Threshold Decision : Concur with Recommendation

Comments : See attached

  
Date 2/3/97  
Jeffrey J. Brokaw  
Bureau Environmental Officer  
Bureau for Latin America  
and the Caribbean

Copy to : ✓ Carl H. Leonard, Director  
USAID/El Salvador

Copy to : Peter Gore, MEO  
USAID/El Salvador

Copy to : Michael Radman, SDO  
USAID/El Salvador

Copy to : Paul Thorn, LAC/SPM-CAC

Copy to : Kathleen Barrett, LAC/CEN

Copy to : IEE File

## ANNEX O

### FEASIBILITY ANALYSIS

The design of the new Human Capacity Development Activity for USAID/EI Salvador was based on lessons learned from CLASP in a reengineered USAID. The studies and documentation utilized for the design are

- 1 Ongoing monitoring and evaluation carried out by the Analysis Team built in the Project,
- 2 Mid-term evaluation of CLASP completed in 1993 by Aguirre International,
- 3 "Strengthening Human Capacity Development Strategy of USAID/EI Salvador" - a Missionwide analysis conducted by a three-member USAID/Washington and Aguirre International team that demonstrated the high impact of CLASP Training which constituted the basis for the development of the Mission Training Strategy in 1994,
- 4 Issues paper produced by the Office of Health and Education, Division of Education and Training (OHE/E&T) in early 1996, which opened discussion on the future role of human capacity development (HCD) in the Mission,
- 5 A mini-retreat and Training Strategy conducted with the staff of OHE/E&T,
- 6 Survey and analysis carried out by a two-person HERNS team in October 1996

**ANNEX P**

**LIST OF ACRONYMS**

ADS 253	Automated Directive System - Chapter 253 Training for Development
CAPS	Central American Peace Scholarship Program (1985 - 1993)
CLASP	Caribbean and Latin American Scholarship Program (1990 - 1997)
COTR	Contracting Officer Technical Representative
CSA	Customer Service Assessment
FAR	Federal Acquisition Regulations
GOES	Government of El Salvador
GOES/NGO	Government of El Salvador/Non Governmental Organizations
GTD	Global Training for Development
HBCU	Historically Black Colleges and Universities
HCD	Human Capacity Development
HCDM	Human Capacity Development Manager
HERNS	Human and Educational Resources Network Support
IQC	Indefinite Quantity Contract
IR	Intermediate Result
MAARD REV	Modified Acquisition and Assistance Request Document - Revised

105

NGO	Non-Governmental Institution
NMS	New Management System
OHE/E&T	Office of Health and Education/Education and Training
PACD	Project Activity Completion Date
PMP	Performance Monitoring Plan
RP	Results Package
SKA	Skills, Knowledge, and Attitudes
SO	Strategic Objective
SO/RP	Strategic Objective/Results Package
SOAG	Strategic Objective Agreement
TCA	Training Cost Analysis
TLO	Technical Liaison Officer
TU	Training Unit
U S	The United States
USAID	United States Agency for International Development

<sup>1</sup>Two sources of data are reflected in the “training support services needed to achieve high impact training information from qualitative interviews and responses to the demand survey