



BUREAU FOR EUROPE AND EURASIA

HANDBOOK OF PARTICIPANT TRAINING POLICIES AND PROCEDURES



Prepared by: U.S. Agency for International Development
Bureau for Europe and Eurasia (E&E) Office
of Environment, Energy and Social
Transition (EEST)

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DRAFT



Dear Colleague:

The E&E Bureau (E&E/EEST) is pleased to provide you with the latest edition of the *Bureau for Europe and Eurasia Handbook of Participant Training Policies and Procedures*. The handbook is a newly revised guide of procedures and policies for training implementation under USAID's E&E Regional Participant Training Program. The E&E Regional Participant Training Program has been funded by the United States Agency for International Development to assist specific states in Europe and Eurasia in their transition to open market economies and democratic societies.

The handbook has been designed to serve a number of audiences, including USAID Missions, USAID/Washington, the E&E Bureau's prime training implementation contractor(s), and technical assistance providers in the region. The purpose of the handbook is to serve as a resource for finding answers to questions that often arise while planning and implementing training. I encourage those who work together to develop and manage training programs in the region to use the handbook regularly. I am sure it will become an invaluable reference for new staff members and seasoned professionals alike.

USAID has established its training policies in the Administrative Data System Chapter 253 (ADS 253). The E&E Training Handbook is not intended as a replacement to ADS 253, and it does not contradict ADS 253 in any way. Rather, it complements ADS 253 by providing users with clear, user-friendly guidance specifically tailored for training in Europe and Eurasia. It is also the authority reference for E&E Bureau training policies.

The current edition of the Handbook has been organized to provide the user with not only the rules and required actions for carrying out USAID-sponsored training but also with insight and guidance on designing results-oriented training interventions. Chapter 1 provides an introduction to the training program. Chapter 2 emphasizes broad programmatic issues surrounding design, implementation, and evaluation of training interventions based on the training-for-results chain. Chapters 3, 4, 5 and 6 contain the "nuts and bolts" of training, that is, the actions and documentation required by USAID or other governmental organizations for preparing participants and managing training events. The chapters may be read independently of each other and are specific to each venue. Chapter 7 provides users with information on executing training-related grants. Chapter 8 contains information about technical assistance interventions under E&E participant training and Chapter 9 provides guidance on training-related partnership activities.

The E&E Training Handbook will be continuously updated. The on-line version of the handbook will reflect program and policy changes as they occur. Comments and suggestions are always appreciated and may be sent to Jeffrey Shahan, Senior Training Advisor, at jshahan@usaid.gov.

Sincerely,

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CTO
E&E Regional Participant Training Program
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Part I
**Overview of E&E Regional Participant Training
Program**

Chapter 1

Introduction to USAID Training in Europe and Eurasia

1. E&E Regional Participant Training Program

The Regional Participant Training Program in Europe and Eurasia is funded by the U.S. Agency for International Development (USAID) and managed by its Europe and Eurasia (E&E) Bureau to support the economic reconstruction and building of democracy in Central and Eastern Europe and the former republics of the Soviet Union. The program endeavors to assist the citizens of the former Eastern bloc and former Soviet Union in their transition to a free market democracy, guiding them toward global integration after years of social, political, and economic isolation. Participant training activities also develop mutually productive relationships between individuals and institutions in Europe and Eurasia and the United States to facilitate trade, investment, technology transfer, stability, prosperity, and peace.

The E&E Regional Participant Training Program (PTP) is unique. In many countries of the former Soviet bloc, education, especially in technical areas, reached high levels with many holders of post-tertiary degrees. E&E participant training focuses on providing specific skills to individuals in order to strengthen the functioning of their home institutions in coping with changing economic and political structures. The training itself will likely (not exclusively) be short-term and more technical than academic. Short-term training will probably range from as few as three weeks to as long as four months. Participants in training programs are usually mid- to high-level professionals from both the public and private sectors. Training activities are conducted in the U.S., in-country, or in a third country, depending on the goals of the training intervention and the most cost-effective means of accomplishing those goals.

The individual Missions of the E&E region are responsible for all programmatic decision making and budget allocation authority. The E&E Bureau's Office of Environment, Energy and Social Transition (E&E/EEST) has oversight responsibility for managing the overall Regional Participant Training Program (PTP). Under PTP, the E&E Bureau provides ongoing training-related technical assistance and policy and procedural direction to all E&E missions and training-related contractors/partners in the areas of human resource development, participant training, performance improvement, small grants and partnerships. Additionally, and as part of its assistance to field Missions that access selected training implementation contractor(s) through the regional PTP Task Order, the Bureau monitors and reports on PTP training contractor implemented activities.

In Fall 2001, USAID awarded E&E Task Order contracts to two training implementation contractors to carry out the implementation of participant training and other training-related interventions in the E&E region. Services the two implementing contractors provide include:

- Annual training plan development for each country and region served under their respective E&E Task Order.
- Supporting USAID technical assistance provider/implementer training activities.
- Recruitment and assistance with selection of trainees, English language testing, medical certification, visa processing, insurance enrollment, orientations, and participant data reporting.
- Training-related grants administration.
- Assistance with and development of training program design and administration of U.S., in-country, third-country and academic training.
- Administering Entrepreneurial Management Training, a U.S. training event involving small groups of participants from private-sector industries or who are self-employed. EMT focuses on job training, mentoring and observation study experiences with U.S. businesses.
- Carrying out programs that contain local capacity and learning strengthening as a component of an ICT training event. This includes designing training requests to include local training provider strengthening and working with local training providers to set up work improvement plans.
- Carrying out programs for training or institutional strengthening services in the area of crisis and conflict prevention.
- Offering technical advice and assistance to ensure Distance Learning options are included in the training planning process.
- Administering and monitoring in-country training-related technical assistance interventions.
- Funding and administering training-related partnership grants on behalf of USAID.

Training Support

The E&E Bureau supports a variety of training-related activities as part of its assistance to field Missions. These activities — many of which are provided with the assistance of its support contractor the International Science and Technology Institute, Inc. (ISTI) — include training and partnership design, planning, and administration; performance monitoring and evaluation; financial analysis; and human capacity development. The following list of key services illustrates how the E&E Bureau (E&E/EEST) can assist missions in these key areas.

Training Design, Planning, Administration and Other Support

- Developing realistic training objectives that contribute to the achievement of intermediate results and strategic objectives
- Conducting human capacity development sector assessment
- Conducting performance needs assessments
- Developing training plans
- Reviewing training program designs to ensure that training-provider implementation plans adequately relate to Mission's request, and informing the Mission of other training design options
- Monitoring program costs; instituting cost containment measures

- Monitoring administrative costs and budgets
- Notifying and obligating regional program funds
- Reviewing and drafting training-related scopes of work
- Drafting, reviewing and commenting on training related documents
- Providing technical assistance in the formulation of training plans that meet minimum USAID standards and are in conformity with ADS 253 requirements
- Providing technical training to mission staff on training regulations and implementation
- Providing technical assistance to access the training plan database and respond to its query functions
- Providing policy and procedural guidance to Mission and contractor staff on the planning and application of training-related small grants and technical assistance
- Providing technical assistance to Mission staff on the development and utilization of training-related partnerships for in-country institutional strengthening
- Conducting workshops and conferences on training related issues

Partnership Planning and Development

- Assessing in-country capabilities for, and interest in, partnership opportunities
- Identifying areas of intervention and partnership objectives
- Determining initial and long-term sustainability potential of partnerships
- Initiating development of local capability for partnership evaluation
- Identifying funding possibilities from regional, U.S., and other sources such as foundations and corporations
- Initiating basic training in fundraising and fund management
- Reviewing ethics governing funding initiatives and management of funds
- Discussing the possibility of establishing a foundation or any other funding arrangement
- Assessing current uses of technology, available skills, and quality and capacity of equipment for partnership support
- Identifying relevant, successful and interested professional partners
- Developing with partners mechanisms to ensure sustainability of leadership

Financial Analysis

- Providing a monthly review of each country's training implementation contractor's pipeline, intervention financial expenditures report (i.e., the "Checkbook"), and balances available for additional training interventions
- Tracking Mission allowances, commitments, and obligations by fiscal year and strategic objective
- Providing ad hoc analysis of costs incurred by the PTP training implementation contractors

- Analyzing and monitoring training intervention costs as approved by respective Missions
- Monitoring program costs per established cost ceilings
- Monitoring training implementation contractor(s) administrative costs and budgets

Monitoring for Results

- Monitoring and reporting on project activities conducted by the training implementation contractor(s)
- Assisting Mission staff with the development and implementation of training monitoring plans
- Identifying performance indicators to measure training results at several stages of the training cycle
- Assisting with the development of training monitoring plans that include data collection, storage, retrieval and analysis
- Assisting with the development of training input for the R4 and other reporting documents
- Developing public information materials and success stories

Evaluation

- Collecting data on participant evaluations of training activities and providing Missions with lessons learned reports
- Conducting detailed evaluations when monitoring of training activities provides insufficient information
- Conducting special program evaluations and studies, as requested by E&E Bureau staff in response to congressional and other mandates

Core funding, combined with specific Mission buy-ins, supports the above services.

2. Technical Assistance Provider Training

Technical assistance providers are contractors, cooperative agreement recipients, and grantees whose primary function is to implement sector specific projects in E&E countries. Projects may focus on health, private sector development, housing, environment, infrastructure building, and so forth and may include training as a component of their overall activity.

The training implementing contractor(s) supports USAID technical assistance provider/implementer training activities by providing information on designing and conducting training, based on the best practices of E&E training implementation and Training-for-Results principles, and also by conveying all necessary agency, bureau and mission training policies. At Mission discretion, the training implementation contractor(s) will conduct general training support meetings for

USAID technical assistance providers/implementers and support their training efforts by serving in an advisory function.

The E&E Bureau (E&E/EEST) may also provide technical guidance and support to all technical assistance providers. Examples of Bureau service include: responding to queries from technical assistance contractors/grantees regarding training issues related to administration and management of training activities; providing informal training sessions on how to administer training for E&E projects and programs; and guidance and interpretation of ADS 253 and E&E Bureau participant training policy and procedures.

Chapter 2

Training for Results: Planning and Evaluation

1. USAID Training under Reengineering¹

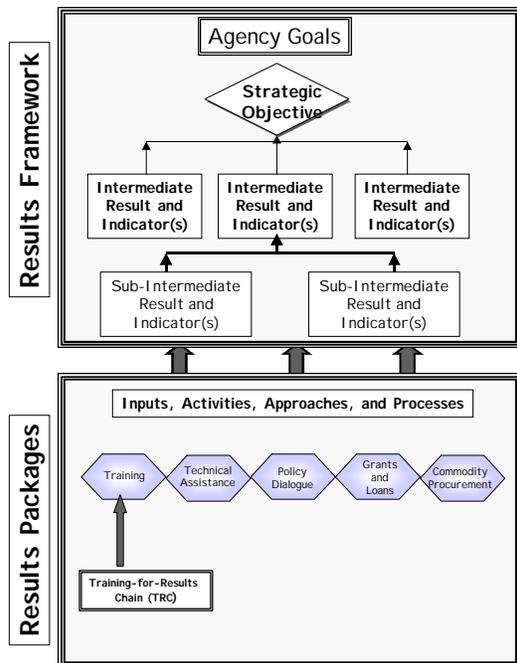
Over the last nine years USAID has engaged in a fundamental change in how it manages its programs and measures performance, instituting a process known as managing for results. USAID Missions organize their programs around strategic objectives and intermediate results, as described through results frameworks; articulate their strategies in strategic plans; and report on progress toward those objectives and results in the annual results review and resource request (R4) process.

The Results Framework (RF) is a narrative and graphic depiction of the strategic plan. The RF articulates strategic objectives, supporting intermediate results, and performance indicators used to monitor progress toward lower- and higher-level

results as shown in the upper box in Figure 1. The Results Framework articulates the cumulative impact of all training and related activities supporting a given strategic objective. The cumulative measure of success is achievement of the strategic objective. Included, too, are intermediate milestone indicators of progress toward final results. This framework is established as part of the strategic planning process.

The Results Package (RP) defines the specific training, technical assistance, resources, policy dialogue, commodity procurement, and other inputs that will be required to support the accomplishment of the Intermediate Results (IR) and Strategic Objective (SO), as shown in the lower box in Figure 1. The Results Package focuses on the more immediate impact of activities in a given sector or institution. For Results Packages in which training is the only activity, the contribution of the training to the result is expressly articulated.

Figure 1:
Results Framework and Results Packages



¹ The following section draws on the Training-for-Results Workbook and ADS 253 Supplementary Reference.

Each year, USAID invests several hundred million dollars in a wide range of training interventions, some of which are directly linked to Mission SOs and IRs and some of which could be better integrated into a Mission's strategic plan. For many USAID programs, human resource capacity is the critical element that will determine success and sustainability. If designed appropriately, training can play an important role in supporting the achievement of a Mission's SOs and IRs.

Training can be defined as a structured experience that helps individuals acquire new, predetermined knowledge, skills, and attitudes. The experiences help individuals improve their current job performance and/or prepare them for new job responsibilities that support an overall organizational goal.

Embedded in this definition is the concept that training does not have an impact until the knowledge or skills acquired by the trainees have been successfully applied to a specific work situation, which, in turn, results in a measurable improvement in performance. Successful training is not measured in terms of numbers of individuals trained but rather by the contribution made by trainees to individual and organizational performance improvement. This change in focus has clear implications for monitoring the accomplishments of training, as stated in the ADS 253, Supplemental Reference:

Under the USAID re-engineering program, an appropriate program accomplishment or "outcome" is not the number of returnees or the number of people placed in jobs. Rather, the critical accomplishment is the degree of utilization of the new skills for the specific purpose intended. This is much more difficult than counting the number of people trained.

Moving from traditional training to reengineered training requires all those involved in planning and executing training activities to use new methods and processes and to develop a new mind-set toward training. Table 1 summarizes the key differences between traditional and reengineered training.

	Traditional Training	Reengineered Training
Needs Assessment	Provided a general inventory of training needs.	Assesses performance gaps affecting achievement of objectives.
Objective	Training was the objective.	Training objectives must show direct linkage to USAID program objectives and results.
Selection	Trainees selected in accordance with merit, ability, or leadership qualities.	Trainees identified for training are those who will perform the jobs that will contribute to organizational improvement.
Design	Training designs were based on the needs of trainees.	Training designs are based on the needs of organizations/institutions to improve performance and results.
Impact	Impact measured through the number of people trained. Quality of training was assessed in accordance with participant satisfaction and individual results achieved.	Impact measured through indicators of improvements in performance and results.
Accountability	Accountability rested with trainers only.	Trainees, supervisors, and trainers are accountable for achieving training objectives and results.
Responsibility	Training was the sole responsibility of the USAID mission's training office.	Partners in the training process include USAID staff, training contractors, technical assistance providers involved in training, partner organizations, work groups, and trainees.

The development of a Strategic Plan aimed at developing human capacity development in support of improved performance requires a more focused and intensive process than has traditionally been the case for participant training.

The Training-for-Results Chain (TRC), shown as Figure 2, describes the reengineered process. The TRC is a tool developed for USAID staff, training implementation contractor(s), and technical assistance contractors to assist in both the design of individual training activities and the compilation of a Mission-wide training plan that directly supports the achievement of a Mission's Strategic Objectives (see Appendix 1: Additional Resources, for a description of the Training-for-Results Workbook.) It should also be noted that the TRC is an effective tool for planning and monitoring other training interventions such as training-related technical assistance, small grants and partnerships.

² Adapted from Otero, Cecilia, *Training as a Development Tool*, prepared for USAID by the Academy for Educational Development, Research and Reference Services Project, September 1997.

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

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

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

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

Figure 2:



E&E BUREAU REGIONAL PARTICIPANT TRAINING

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

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

- Link 8 USAID/Washington and Missions monitor training contractor(s) and technical assistance contractors involved in Training Management to determine if they are following USAID rules and regulations. Overall effective/efficient use of resources to meet the Mission’s Strategic Objectives is also monitored.
- Link 7 Training implementation contractor(s) and technical assistance contractors monitor individual training events and other training-related interventions through site visits, telephone interviews, and exit questionnaires, as appropriate. Results are included in a final training event/activity report provided to Missions.
- Link 6 The extended SO Team learns the immediate effect of the training on each Trainee’s Learning from the results of the exit questionnaire, which includes a self-assessment of new knowledge, skills, and attitudes gained. Results are included in the final training event report.
- Link 5 Over time, the extended SO team monitors the Application of knowledge, skills, and attitudes in the workplace, through follow-up questionnaires and interviews with selected trainees. Interview results are provided to USAID/Washington and Missions.
- Links 4 and 3 The extended SO team reviews stakeholder agreements and action plans and compiles success stories to document performance changes in Work Groups and Partner Organizations. Success stories are provided to Mission management and USAID/Washington. Complementary evaluations may also be conducted to examine particular successes or problems.
- Link 2 The extended SO Team participates in the annual R4 preparation process and identifies if and how training contributed to the targeted Intermediate Results.
- Link 1 The extended SO Team uses the R4 preparation process to identify lessons learned. The lessons are used to develop a new training plan that will further the achievement of targeted Strategic Objectives.

The following sections describe the planning and evaluation and reporting processes in greater detail in accordance with the training-for-results chain framework.

2. Training Planning

Planning for training to support Results Packages and Results Frameworks requires several critical steps leading up to the completion of the Training Plan. The Training Plan consists of a compilation of all Mission-supported training that directly links with Strategic Objectives. All training interventions authorized under the E&E Regional Participant Training Program (PTP), including technical assistance, grants administration, partnerships, and participant training events for all venues as well as distance learning, must be included in the Mission's annual training plan. The Training Plan allows for cross-activity cost and effectiveness comparison, effective budgeting and the avoidance of redundancy. Training Plans are developed annually and identify training objectives, nature of the training related intervention, and cost.

While Missions may develop Training Plans in hard copy, the E&E Bureau has developed the Training Interventions On-line Library (TIOL), a web-based system to facilitate the development and warehousing of Training Plans.³ The TIOL's most important feature is that it may be used interactively to allow USAID personnel and training implementation contractor(s) to share information on how best to plan and design cost-effective training interventions that will successfully meet USAID objectives. The TIOL provides a rational framework, through database fields, that organizes information and guides the user through the key elements of successful, well-planned training intervention concepts and requests.

The TIOL database includes interactive forms for developing, proposing, editing, approving, and then implementing, monitoring, and evaluating and reporting on training interventions in the E&E region.

By identifying the instruments that facilitate the planning process, this section of the handbook describes the training planning process within the context of the Training-for-Results Chain and its component link. The TRC helps extended Strategic Objective Teams work together to compile information from the USAID Mission's Results Framework, R4, previous training plans, and other relevant documents to design training interventions that support the achievement of the Mission's SOs. The information gathered during the planning phase is used to complete the training intervention concept and request forms on the Training Interventions On-Line Library (TIOL) website.

Training interventions are created by USAID SO/RP members and entered into the TIOL system as proposed concepts. The Mission's training officer or designee reviews each proposed training intervention concept via TIOL and approves, disapproves or sends it back for revisions. The intervention concepts are then prioritized for funding and then fully developed into training intervention requests by the Mission and implementing contractor(s).

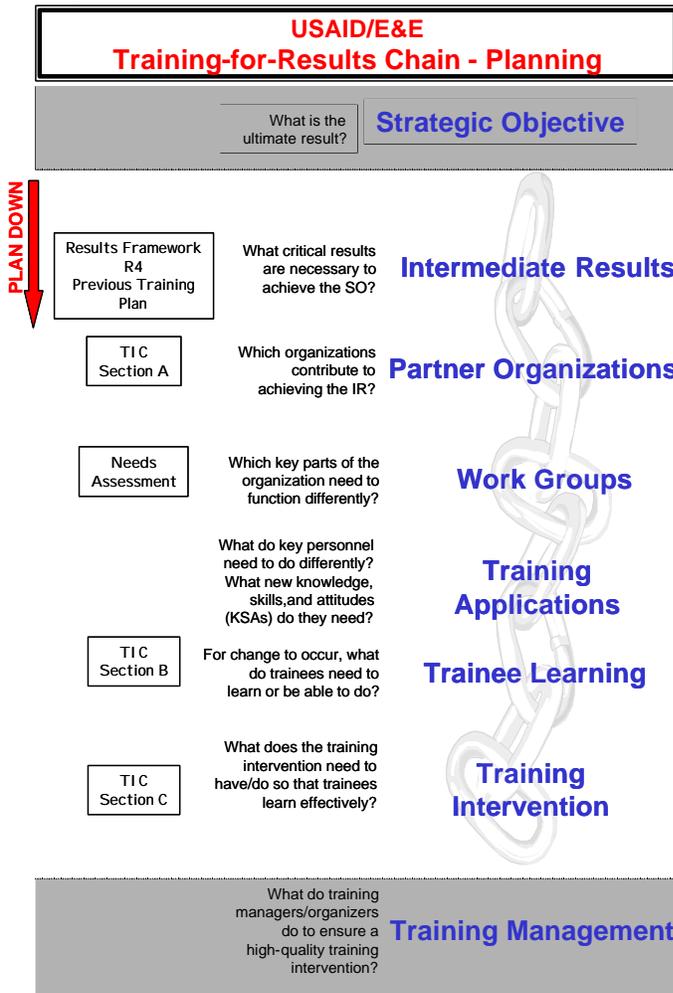
³ For a description of the Training Interventions On-line Library (TIOL) see Appendix 1.

The training intervention concept/request forms provide the basis from which documents and reports can be developed, including

- Mission and/or E&E-wide Training Plans;
- reports of individual training interventions (by Country & Mission Strategic Objective, E&E Strategic Objective, FY/Quarter, and status);
- budgeting and planning worksheets containing estimated costs of individual training interventions, prioritization of training interventions, schedule of training interventions, and so forth; and
- an interview guideline with prompts to aid in the design and development of training interventions for results and impact.

The training interventions concept/request forms and the documents and reports resulting from them are not meant to supersede or take the place of any other reporting system.

Figure 3:



Planning Link 1 Strategic Objective

Planning Link 1 of the TRC, located at the top of Figure 3, helps SO teams clarify which of the Mission’s Strategic Objectives will be supported by a training intervention. Figure 1, presented earlier in the chapter, illustrates how training is identified as contributing to the achievement of a Strategic Objective through the Results Package. In the Training Interventions On-line Library, the name of the Strategic Objective is selected in Section A.3. [Refer to Appendix 2 for the Training Intervention Concept Form (TIC) Template.]

After identifying the Strategic Objective that will be supported by a training intervention, the SO Team collects and summarizes the relevant background information on the Strategic Objective and the extent to which there are identifiable training needs. The information is entered into the TIC under Section B.

Planning Link 2 Intermediate Results

Planning Link 2 of the TRC helps the SO Team identify the Intermediate Results and sub-Intermediate Results that can be influenced by training interventions (also refer to Figure 4 found later in this chapter). The Intermediate Results affected by training are entered into the TIC under Section B.1 – Intermediate Results.

Measuring the impact of training activities on results and sub results may be facilitated through the development of a Performance Monitoring Plan for Training (PMP-T). The PMP-T identifies performance indicators, baselines and targets for the results and sub-results that are affected by training interventions. The PMP-T supports both the design and monitoring of training by providing a reference for observing how training interventions affect results and for collecting and analyzing performance data related to training activities. The performance indicators, baselines and targets are entered into the TIC in Section B.2.

Planning Links 3 and 4 Partner Organizations and Work Groups

Planning Link 3 of the TRC helps the SO Team identify the Partner Organizations (POs) that are critical to the achievement of the targeted SO and IRs. Trainees will be selected from the Partner Organizations. The first step is to identify which part of the partner organization's work is directly related to SO and IR results and to understand which of the POs functions can be strengthened through training interventions. Planning Link 4 identifies the work groups within the Partner Organization that need to function differently in order to improve organizational performance.

A training needs assessment (TNA) identifies training gaps that must be filled in order to improve organizational and work group performance as well as potential interventions to fill those gaps. Training needs assessments may also be conducted with respect to the entire Mission portfolio under the Strategic Plan.

One consideration when embarking on the training needs assessment is the chronological sequencing of interventions that make up the Results Package. In many instances, improved organizational performance may be conditional upon the completion of a technical assistance package that promotes policy, legal, regulatory, or administrative reform, or on an equipment or commodity procurement that provides the material required to improve performance. Trainees with improved knowledge, skills and attitudes will be unable to contribute to improved organizational performance if either the macro or workplace environment constrains their performance.

The identified Partner Organizations and Work Groups and their performance gaps are entered into Section B.3 of the TIC. Section B.3a requests information about the Partner Organizations and work groups to be supported by training, including the functions of the Partner Organizations/Work Groups and how those functions relate to the achievement of the targeted SO and IRs. Section B.3b requests information on the performance problems that need to be addressed through a

training intervention. Section B.3c asks for a brief history of USAID and other donor assistance to the Partner Organization and Work Groups.

Planning Link 5 Training Applications

Planning Link 5 of the TRC specifies what is expected from the training and what needs to happen in a targeted Partner Organization and Work Group and at the individual trainee level for performance to improve. At this stage, the new knowledge, skills, and attitudes (KSAs) required for performance improvement are identified. Key personnel within the Work Group who need training are also identified as well as the types of training needed to improve performance. A further exercise is the determination of what trainees need to do when they return to work and what work environment will sustain the results of the training. Participant selection should be targeted to those individuals whose job functions need improvement. During this planning phase, Missions might consider the potential provision of small grants or training-related technical assistance to support participants who have returned to their place of employment after receiving USAID E&E training. Please see chapter 7 for information on the E&E small grants program and chapter 8 for a discussion on training-related technical assistance.

Section B.4 of the TIC addresses information on the performance issues to be remedied – the knowledge, skills and attitudes to be developed through training to improve performance. Additionally, the section asks for information on what the trainees will be responsible for when they return to work.

The type of training to be delivered will follow from the types of KSAs to be developed and a consideration of the most cost-effective means to deliver those KSAs – whether formal academic training in an accredited degree-granting institution or non-degree technical training such as that obtained through observation visits, on-the-job training (OJT), seminars, and short-term non-degree training in an academic institution. Distance Learning is an innovative approach to E&E training and should be considered by Missions where DL technology (such as video communications, CD Roms, Internet) can strengthen the impact of existing courses or supplant traditional classroom instruction that may require extensive and frequent travel. Training-related partnerships (see chapter 9) might be considered by the mission when institutional change is critical to the success of specific targeted results.

Given that trainee learning is more effective in some venues rather than in others, the choice of training venue is critical in planning a successful training intervention. There are three broad categories of training venues: U.S. training (UST), third country training (TCT), and in-country training (ICT). Training to address certain KSAs may only be appropriate in certain venues. For example, U.S. training or third-country training may be the sole venue where certain long-term academic training can be provided. Study tours or seminars in third countries may be more effective in facilitating the adoption of new KSAs because TCT participants are able to identify with the problems faced by their counterparts

in third countries and better understand the solutions made possible by the new KSAs.

The following section provides special guidance on choosing the appropriate venue for training.

Special Guidance: Selecting the Appropriate Venue of Training

The E&E Regional Participant Training Program provides three venues of training each with its own appropriate usage: U.S.-Based training (UST), Third-Country training (TCT), and In-Country training (ICT). These three venues of training can also be combined in a multi-faceted approach to solving a performance problem. Using such a multi-faceted approach in developing a Mission Training Plan will ensure that ICT, for example, is not used simply because, a decision maker believes a larger number of participants can be trained at a lower cost, compared to UST or TCT. Rather, the selection of appropriate venue is a function of several decisions, most importantly, how best to achieve the objectives at a reasonable cost. The Strategic Objective and Training for Results processes focus the attention on the objectives, the training content, and the participants. Equally important is the venue.

When selecting the training venue, the emphasis and consideration must be on the needed outcomes of the program. The main issue is which venue will ensure the highest quality of training. Quality for the E&E Regional Participant Training Program refers specifically to the outcome, the impact, and the “deliverable useful results”. Not the outputs, or as usually reported, the numbers of participants trained.

At a project level, there are three parameters to balance: quality (outcomes of event as they relate to Mission objective), quantity (number of participants trained), and cost (both event costs and overall project costs). A common pitfall of project management occurs with the assumption that quality increases along with quantity and that if you can train large numbers cheaply this will lead to a higher impact. In actuality, for most training events, this is not true. Developing a critical mass may be important or it may not be important to the outcome of the event. Much depends on the nature of the intended result and the KSA gaps.

Quality is in direct relation to achieving the objectives and delivering useful results. Quantity, which usually relates to timing and/or numbers, becomes a secondary issue here. “Numbers Trained” is a common measure but is not necessarily directly linked to “improving performance”, which is the primary objective.

There are two key processes in selecting venue: 1) correctly specifying the desired outcome; and 2) correctly balancing the basic elements of project management. Which venue to select is assisted not so much by definition, but by description of the benefits and concerns of each option.

The first key process refers to the attitude, expectations, focus, and opportunity the venue provides to help accomplish the desired outcome. The second key process refers to administrative coordination. Training coordination is as important as training delivery. As quality is a key issue for the E&E Regional Participant Training Program, training coordination must be a part of the venue selection criteria.

Several questions must be asked when determining the venue of training. What venue would improve the experience so that the training objectives were achieved? What venue would ensure

that the participants acquired, practiced and became skilled at the work requirements? What venue is most appropriate so the participants would and could be able to apply the KSA on return to their work environment?

The chart below can help planners of training events choose the best venue by focusing on the effectiveness of each venue in supporting the intended objectives of the training. All three venues have benefits and concerns associated with them and these should be carefully considered when choosing a venue of training.

Benefits and Concerns of the three possible training venues

	<i>UST</i>	<i>TCT</i>	<i>ICT</i>
<i>Content of Training Event</i>			
<i>Benefits</i>	<p><i>Immersion/experiential learning</i></p> <p><i>Focus on theory or US model</i></p> <p><i>US linkages</i></p> <p><i>Team formation</i></p>	<p><i>Focus on theory of regional country model due to political/economic similarities</i></p> <p><i>Focus on learned experience of transition</i></p>	<p><i>Deeper consideration of topic, if delivered in a series</i></p> <p><i>Specifically designed or replicable event</i></p> <p><i>Focused training topic</i></p> <p><i>Practical application at work sites with real-life problem solving</i></p>
<i>Concerns</i>	<p><i>More difficult to relate back to home context</i></p>	<p><i>Non-U.S. model</i></p>	<p><i>Limited immersion</i></p> <p><i>Difficult to separate from technical assistance activity</i></p> <p><i>Limited variety of ideas</i></p> <p><i>Non-U.S. model</i></p>

	<i>UST</i>	<i>TCT</i>	<i>ICT</i>
Program Management			
Benefits	<p><i>Procedures established and costed</i></p> <p><i>Training coordination shared between implementing contractor field office and home office, and training provider</i></p>	<p><i>Training coordination effort shared between implementing contractor field office, home office and training provider/logistics provider</i></p>	<p><i>Most easily accommodates professional and personal schedules of participants</i></p> <p><i>Fewer administrative requirements (medical certification, visas, etc)</i></p>
Concerns	<p><i>Major commitment in time away</i></p>	<p><i>Visa requirements</i></p> <p><i>Limited availability of qualified training providers and/or logistics providers</i></p>	<p><i>Urgent event, takes precedence over all other work of training coordination team</i></p> <p><i>Training coordination not shared</i></p> <p><i>Limited availability of qualified training providers and/or logistics providers</i></p>

The considerations discussed in this section open the door to multi-faceted training planning using all three venues of training in the most effective combination.

Planning Link 6 Trainee Learning

Planning Link 6 of the TRC, the SO Team defines the specific, measurable objectives that will help focus trainee learning to ensure a change in trainees' performance. The stakeholder agreement and initial action plan are also outlined at this stage. They specify the performance change targets for the trainee and identify how the organization will support the trainee in applying new knowledge and skills on the job. The information is entered in Section B.4 of the TIC.

Planning Link 7 Training Intervention

Planning Link 7 of the TRC enables the SO Team to develop components of the training intervention that will help the trainees to learn effectively. The training provider, technical assistance provider or partnership organization that is chosen by the Mission should use the SO Team's suggestions to design the training intervention. For training events, trainers may apply adult learning approaches that build upon trainees' existing skills and knowledge. Methods include role plays, case studies, discussion sessions, field trips, and hands-on training.

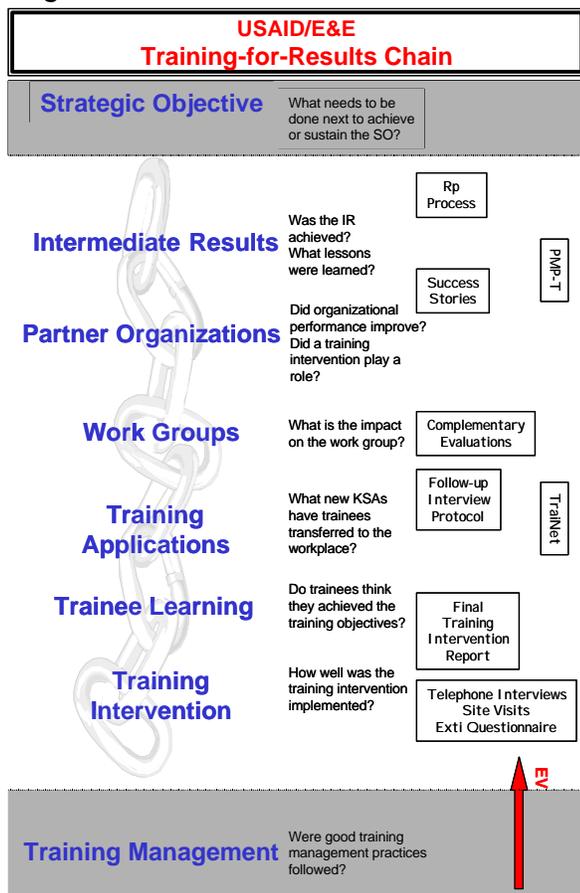
Section C of the TIC requests information on training intervention components, including training venue.

Planning Link 8 Training Management

Planning Link 8 of the TRC focuses on training intervention management. Training contractor(s) design the planned training intervention in accordance with the information provided in the training intervention concept (TIC) form on the TIOL, the stakeholder agreement, and the initial action plan. Training contractor(s) ensure that the intervention not only is compliant with the policies and procedures of USAID but that it will also contribute to the achievement of the identified SOs and IRs. The information on the training concept is entered into the TIC in Section C. Section C summarizes descriptive information on the training intervention, venue, Training Plan fiscal year, dates, and numbers of trainees, when appropriate.

By following the guidance of the left hand side – the planning side – of the Training-for-Results chain, planning interventions that are in accordance with USAID’s reengineered framework becomes easier and the interventions that are henceforth developed have a solid, results-oriented foundation. The right hand side of the chain, which will now be discussed, is the Monitoring and Evaluation phase.

Figure 4:



3. Training Evaluation and Reporting

Evaluation is a management tool that plays a vital role in USAID decision-making, accountability reporting, and learning. It is an important source of information about the performance of USAID activities, programs, and strategies that complements performance monitoring plans, customer surveys, and other feedback on the Agency programs. Evaluations enable USAID Missions to know not only what results were achieved but also how and why they were achieved and ways to improve performance further.

Before reengineering, evaluation of training programs occurred at the level of the individual trainee or at the activity and usually emphasized management issues or participant satisfaction. Under reengineering, the expectations from evaluation go beyond such matters to include a focus on results at the Strategic Objective level and the broader impact of training on individual and ultimately,

organizational behavior. Evaluations test the development hypotheses and assumptions underlying a strategy and provide input for further strategy development.

Another important aspect of reengineering is the requirement that Missions report on the achievement of their strategies. Material collected for evaluations provides input for reporting. Thus, the reporting and evaluation processes are linked.

The remainder of this section uses the Training-for-Results Chain to review the different types of evaluation and their role in both understanding and reporting on what's happening.

The Training-for-Results Chain illustrates the role of evaluation from the conduct of a specific event to the achievement of a Strategic Objective. Figure 4 shows the evaluation side of the chain. At each stage of the chain, the evaluation contributes to an understanding of what is happening, the identification of lessons learned and best practices, and sharing information through reporting. Ultimately, the results, best practices, and lessons learned are fed back into the strategic planning and training planning processes.

Sources of evaluation information provided by the training implementation contractor(s), Bureau support services, and other mechanisms, are indicated in the boxes on the right hand side of the figure.

Evaluation Links 7 and 6 Training Intervention and Trainee Learning

Ongoing evaluation of training interventions provide the training implementation contractor(s) with immediate feedback, particularly in regards to whether the training activity was planned for effective learning. Training and technical assistance providers share with the training implementation contractor(s) their own impressions of how well the activity was implemented and identify ways for improvement. After a training session, participants complete a questionnaire on their immediate reactions to the content and management of the course. In particular, the survey asks if participants are satisfied with the way the training event was managed/conducted. The information helps the training implementation contractor(s) assess whether sound training management practices were followed.

Exit questionnaires for training events also elicit information on the achievement of trainee learning. The training implementation contractor(s) review whether a training event gave participants the desired skills, knowledge, and attitudes; whether participants appeared to understand the objectives of the training program; and whether the training approach was conducive to the learning process. Exit interviews ask participants what they considered the objectives of the program; whether their expectations agreed with those of the implementers; whether they believed that the objectives were achieved; whether the training was appropriate given their goals; and whether the training was conducted in a way conducive to learning. Finally, exit interviews ask participants how they plan to use their new skills.

Evaluation Link 5 Training Applications

While well-run and well-planned training events and activities are necessary to ensure trainee learning, the primary goal of training is its application by participants. To assess the extent to which trainees actually apply their new knowledge, skills and attitudes, an important evaluation source is a follow-up survey of participants administered six to nine months after the training activity. The survey asks participants about any changes they have made in their work or behavior as a result of the training intervention. Whereas the exit interview asked trainees about the planned impact of training, follow-up surveys seek to determine the actual impact. The follow-up survey also revisits other questions such as whether students and sponsors still consider the training intervention appropriate to meeting their goals and objectives.

Evaluation Links 4 and 3 Work Groups/Partner Organizations

The achievement of larger results and ultimately of a strategic objective often depends on the realization of a broader impact on the Work Group and, ultimately, organizational behavior. The six-month surveys discussed above also provide insight into the extent that a training intervention is producing such an impact. The surveys may provide feedback on the successful application of training, or may be used as a mechanism to identify whether there are constraints within the work place that have limited participants' use of new knowledge or skills. This information is useful to both the training implementation contractor(s) and the Mission/SO team. It can help the implementing contractor(s) identify ways to enhance the impact of the participant training program by, for example, designing future training activities for additional participants who may be in a position to overcome some of the identified constraints or by tailoring the training program to address some specific constraints. The Mission/SO Team can use information from follow-up surveys to monitor the performance of the implementing contractor(s) and to assess the impact of specific training interventions as related to the Mission's strategy.

The E&E Bureau has developed an interview protocols and guidelines manual⁴ which provides guidance on conducting a broader assessment of training through effective interviewing of participants. The E&E Bureau encourages Missions to work with an independent contractor to apply the protocol. Alternatively, Missions can request that the Bureau access its support services contractor to apply the protocol in measuring the impact of their training activities. The evaluation protocol can be targeted as necessary to investigate the impact of training within specific organizations, institutions, sectors, or regions.

It is important to note that, for all training interventions (including academic training), the contractor(s) will emphasize necessary post-training through follow-up activities with the trainee and supervisor in the work setting, through follow-up

⁴ For further information on this tool see Appendix 1.

workshops, training alumni groups and directories, grants, related technical assistance, networking structures, placement efforts and other means.

Evaluation Links 2 and 1 Intermediate Results and Strategic Objectives

Evaluation of the impact of training interventions on participants, Partner Organizations, and Work Groups can complement indicator data to help Missions assess and report on the progress toward intermediate results and the eventual achievement of the Strategic Objective. Of particular relevance to SO Teams is the extent to which the training intervention has resulted in changes in individual, group, or organizational behavior. Equally important is the question of whether any such changes have supported the realization of the intermediate results. The Performance Monitoring Plan for Training (PMP-T) described under Planning Link 2, is an instrument for collating performance data for IRs and sub-IRs with significant training components. It was developed as an optional tool for bringing together in one spot the type of information that is relevant for making an analysis of training results. A copy of the PMP-T may be found in the TRC Workbook, which may be downloaded from the E&E Regional Participant Training Website (www.eetraining.net).

Another source of statistical and qualitative information on the participant training program is the semi-annual and annual reports compiled by the training implementation contractor(s). The reports provide both background material about training activities and provide details about the impact of the training interventions, and may include success stories.

In addition, success stories are collected and entered into the success story database maintained by the Bureau support services implementing contractor. The success story database is an easy-to-access source of material that can be used when reporting on the impact of training events. Although success stories tend to focus on the individual level, the various highlights provide a human dimension that supports the more general or statistical discussion in an R4 narrative.

Based on this information, SO Teams/Missions can determine whether an Intermediate Result or SO is on track, if any changes are necessary to ensure the achievement of an Intermediate Result or SO, and, ultimately, whether the SO and Mission strategy itself are sound or need to be rethought.

PART II
Preparation and Documentation for
E&E Participant Training

Chapter 3

Preparation and Documentation for U.S.-Based Training

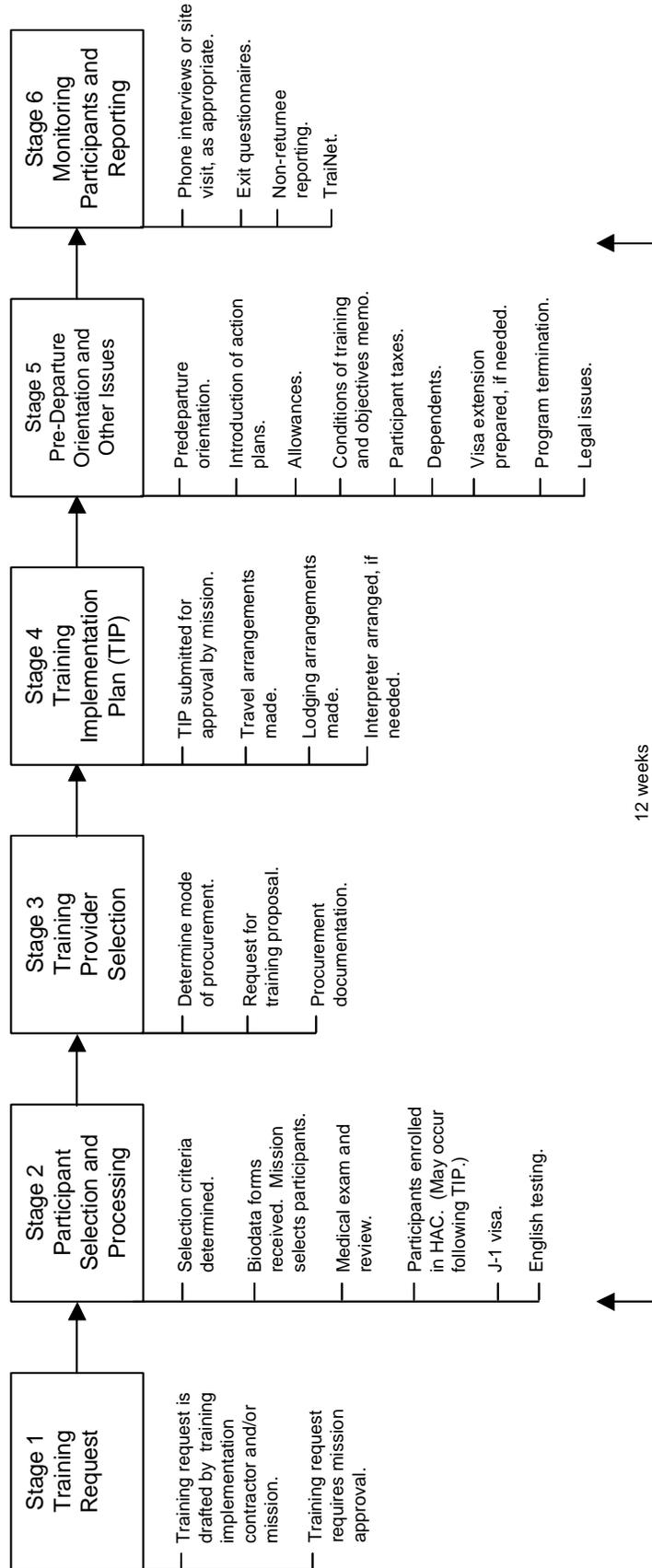
All training funded by USAID through its worldwide missions is managed by Agency Directive ADS 253. This chapter follows closely, and in many cases states directly, the contents of ADS 253. ADS 253 takes precedence over the contents of this handbook. The Bureau, Missions, and implementing contractor(s) are responsible for adhering to ADS 253.

Chapter three outlines and specifies the required preparation and documentation necessary to conduct USAID-sponsored U.S. participant training. While the chapter lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the E&E Bureau (E&E/EEST) to ensure that they comply with Agency directives and the implementing contractor(s)' task orders.

This chapter includes not only Agency-wide requirements, but also requirements based on the implementing contractor(s)' task orders as developed by the E&E Bureau to address issues particular to Europe and Eurasia. The procedures must be followed to ensure execution of a quality training event in the most efficient, results-oriented, cost-effective manner possible. The flow chart on the following page illustrates the key required steps and activities for implementing U.S. based training.

While this chapter has been written specifically for the E&E Regional Participant Training Program, the guidance contained within is strongly recommended for *all* training in the region, including technical assistance training.

**IMPLEMENTING U.S.-BASED TRAINING
REQUIRED STEPS AND ACTIVITIES***



* The sequence presented in the chart may not be exact for every training event.

STAGE 1 – The Training Request

Activity 1 – Drafting the Training Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed training requests. In either case, the implementing contractor(s) is required to enter all training intervention requests through the Training Interventions On-line Library (TIOL), which is located on the USAID/E&E Regional Participant Training Website (www.eetraining.net).

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

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

Appropriate **lead time** must be considered when requesting a training event. When a training request for UST is ready to move forward, the minimum lead time for implementation of the event is three months. The three-month lead time is Bureau policy and must be adhered to regardless of the type of training, be it a tailored program, conference, or seminar; the number of participants; or the type of procurement. The lead time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training and allows the Mission and implementing contractor to review the training implementation plan with care to ensure full preparation of the participants.

Cost Consideration. Appropriate lead time allows for "comparison shopping" for programs and cost negotiations. If it is necessary to select participants rapidly, the effective cost of the program may be higher, as dropouts may not be adequately replaced. For example, if a program is scheduled for 15 people and only ten attend, the unit cost increases markedly as the provider has certain fixed

costs that are not affected by a smaller group size. If participants are scheduled to depart within a week or two after the identification of a provider, the ability of the placement agent to negotiate cost reductions successfully is minimized. Travel and hotel arrangements made without appropriate lead time may also drive up costs.

In the design of a training program, a cost-sharing formula should be followed whenever possible depending on case-specific capabilities. ADS 253 states that a 25 percent financial or in-kind contribution by other contributors is a general target. The cost-sharing arrangement should be captured in the TIOL and TraiNet.

For U.S. training, the implementing contractor(s) are required to get Mission approval if the per participant/per week **costs** exceeds the following **ceilings** (ceilings include all training fees, interpretation, daily lodging, M&IE and domestic travel): \$1,820 per participant/per week for events with less than six participants; \$1,790 per participant/per week for events with 6-14 participants; \$1,550 per participant/per week for events with more than 14 participants.

In an effort to streamline cost approval documentation for its programs, the E&E Bureau has determined the following as the minimum appropriate documentation of Mission approval for training costs: the training request, the recommendation memo (see below), the TIP (see below), and a justification for exceeding the applicable cost ceilings if needed. Approval of all costs, including any necessary exceptions to the ceilings, should be included in one (or all) of the above documents. No extra approval memo would therefore be necessary. Individual Missions may, however, require additional documentation.

Activity 2 – Mission Approval

All training requests must be approved by the Mission. Approval usually occurs when the Mission signs a hard copy of the training request. As they become part of the training plan, training requests are often reviewed and signed by several managers in the Mission which may include the SO Team leader, Program Officer, and Mission Director. When the highest-level approval is received, the training request is approved and the training implementation contractor may begin to commit to or incur costs.

STAGE 2 – Participant Selection and Processing

Activity 1 – Selection Criteria Determined

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who perform well, complete the training on time, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. Selection committees are most effective when

they include Mission, host-country, and private sector officials who are all stakeholders in the training program.

Agency and Bureau guidelines have been developed to assist a selection committee in establishing selection criteria. The guidelines include the following:

- Participants should not be chosen based on any interests that go beyond the training program and the achievement of Strategic Objectives. Patronage should be avoided and selection criteria must be transparent.
- Selection committees may regard in-country training as a selection screening mechanism to help identify “rising stars” who may then be selected for U.S. training.
- Alternate candidates for training should always be identified in case of unanticipated drop-outs. If drop-outs are not replaced by qualified candidates, there may be cost implications for the Mission.
- Eligible candidates must be citizens and residents of the host country. Persons holding citizenship or residency in other countries are not eligible except with a waiver approved by the Mission Director. U.S. citizens and U.S. permanent residents (e.g. green card holders) are not eligible for USAID-sponsored training unless it is deemed critical to achieving the Strategic Objective. The Mission must approve this exception.
- USAID grantee and cooperative agreement recipient staff may be eligible to attend E&E participant training events as participants. These participants may continue to receive salaries during training as long as the grant or cooperative agreement authorizes it or unless otherwise authorized by the Mission or Regional Contracting/Grant Officer.
- It is E&E Bureau policy that USAID contractor staff are not eligible to attend training events as participants.

About Event Observers. USAID contractor staff may attend training events as observers if they fund their own attendance and do NOT use the implementing contractor for any logistical assistance. The E&E Bureau stresses the importance of including any observer(s) in the pre-departure orientation discussion so that their role(s) is clearly defined to the entire group. This approach will ensure that the observer(s) understands how the program is organized and lessen the chance that the said observer(s) might disrupt the program by attempting to change the schedule and/or aspects of the program.

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

- Candidates should have a clear understanding of the objectives of USAID-sponsored training and evidence a strong personal commitment to participate fully in the training event. Candidates must fully understand that they are obligated to return home after the training and

should be completely aware of their responsibilities as participants. Inability to accept J-1 visa restrictions or refusal to take the required medical examination will preclude the participation of any candidate.

- Participants should possess sufficient academic or other skills/experience to meet prerequisites that enable them to complete the training successfully.
- Participants should have completed their military requirements or otherwise be exempt from conscription.
- Participants should not have been trained previously under a USAID-sponsored U.S. training event. However, repeat participants are allowable, and justification for selecting a repeat participant should be included in the nomination list (see below) that the Mission must approve.
- E&E Missions are to maintain a gender balance when selecting participants. The Agency has established an annual target of 50 percent women for U.S. training. Missions may receive assistance in meeting this target from the Global Bureau's Office of Women in Development (G/WID).
- Missions should attempt to include for training qualified persons with disabilities and members of disability-oriented organizations. The additional cost that may be incurred for a disabled participant is not a sufficient justification for precluding the participation of a qualified disabled participant. (Processing for disabled participants is the same as for other participants except that additional equipment or special accommodations may be needed. Missions must ensure that each disabled participant carries sufficient insurance to cover the disability. A disability is defined as a physical or cognitive impairment that affects a major life function.)

Cost Consideration. If groups are to be programmed, group size can have a substantial impact on cost. Small groups or individual training events tend to be more costly. Other costs affected by group size are transportation and interpretation (if required). Often groups are transported by vans that normally accommodate seven to 15 people, including the driver. If groups are of an odd number or if there is an odd number of men to women, this will result in increased cost as single hotel accommodations will be required.

Activity 2 – Training Application Form

The implementing contractor(s) issues invitations to potential participants based on decisions from the Mission selection committee. Such participants are then required to complete a training application form and submit it to the implementing contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event. All training application forms must contain the following language near the applicant's signature line: Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the training that I may receive under USAID

sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties. The implementing contractor assembles the participant nomination list and submits it for required Mission approval. The Mission is solely responsible for selecting and approving participants.

Activity 3 – Medical Examination and Review

Medical examinations are required for all participants attending an E&E participant training program in the U.S. on a J-1 visa. There are no exceptions. To benefit fully from the training activity, the participant should be in good health. In addition, the participant should not worry about whether medical care will be available in case he/she does become ill. The pre-departure medical examination allows USAID to determine the participant's current physical state and is a requirement for obtaining full medical coverage during the training program. Every trainee entering the U.S. under USAID sponsorship is enrolled in USAID's Health and Accident Coverage (HAC).

Each participant must obtain a medical evaluation. Refusal to do so will immediately terminate an application for training. Potential participants are to receive the USAID Medical Examination Form, 1382-1. A copy of the form is included as Appendix 3. The form consists of three parts as outlined below:

- **Medical history completed by the applicant.** The first page of the Medical Examination form is to be completed by the applicant. Most questions relate to obvious physical or medical circumstances of which the applicant is likely to be aware. A few might be known only through previous medical care (such as high blood pressure). The applicant must understand the significance of the participant's signature as a certification of both the truthfulness of the responses to the best of the applicant's knowledge and of his/her understanding of the "Important Notice" on the first page.
- **Medical examination by a physician.** The examining physician records the results of the examination on the second page of the form, summarizes the findings, and makes a recommendation in regards to whether the applicant is medically qualified for training. As the examining physician may not be familiar with the participant training program and the specific purpose of the examination, the "Guide to Medical Fitness Standards for Applicants" (Appendix 4) must be provided to the examining physician. On the actual medical report page, the physician summarizes the findings and recommends whether the applicant is medically qualified for training. Applicants should arrange for their own examination, but Missions must ensure that local arrangements are designed to ensure the integrity of the examination process, avoiding superficial or pro forma examinations and fraudulent practices. Some USAID Missions or Embassies have lists of reputable medical providers. Recommendations should be solicited from these sources as well as from other contractors/grantees operating in the country.

- **Documentation of Mission determinations resulting from the examination.** The final page of the form provides for the documentation of Mission decisions resulting from the medical examination. Specifically, the USAID Mission training officer or designee (“designee” could be an FSN (Foreign Service National), PSC (Personal Services Contractor), or the implementing contractor) recommends approval or disapproval of the applicant for training (this is called the administrative review) and a designated Mission officer reviews and approves that determination. The reviewing officer may be the training officer, or signing authority may be delegated to an FSN or PSC.

The validity of the medical examination is four months. Participants who delay arrival in the U.S. by that length of time, or who, during their U.S. program, are absent from the U.S. for four months or longer, must take a medical re-examination and receive another medical certification.

Once a medical clearance has been processed and the individual deemed fit for training, the contractor’s field office is responsible for sending written (e-mail, cable, or fax) confirmation to the contractor’s Washington D.C. headquarters that a cleared medical form is on file in-country. The absolute latest it can be sent is five days before the participants arrive. The medical form itself does not have to be sent to the U.S. unless it is to be cleared in the U.S.

Waiver of Agency Requirements Regarding Pre-existing Conditions and HIV/AIDS

Pre-Existing Conditions: On occasion, a participant with a pre-existing condition is cleared for entry into the United States. Usually such clearance occurs when it has been determined that the medical condition is not likely to be activated or aggravated during the period of training and that the training for the particular individual is sufficiently important to warrant the risk. To grant an individual with a serious pre-existing condition access to USAID-sponsored training, the USAID Mission Director (or designee) must indicate on the medical examination form that a waiver is granted. By so doing, the officer is guaranteeing payment from project funds of medical claims arising from pre-existing conditions. In no case does the HAC program cover pre-existing conditions.

The Bureau recommends that Medical waivers be approved only by the Mission Director. The cost implications for the Mission could be significant should a participant incur medical costs from a pre-existing condition. Although the Bureau strongly recommends that waivers be granted only by the Mission Director, they may be granted by the following persons according to ADS 253 Mandatory Reference:

- for Mission-funded participants, by a Mission Director, designee, or CTO;
- for region-funded participants where there is no USAID Mission, by the regional Assistant Administrator or designee; and

- for Central office-funded participants, by the Office Director, that person's designee, the COTR, or any responsible official with sufficient knowledge of potential liability and authority to commit funds.

Executed medical waivers, including a copy of the medical examination (with English translation if in a foreign language), and a Mission's statement of the source of funds to cover waived claims must be forwarded to the Agency's HAC provider by the implementing contractor. Before executing a waiver of HAC coverage for medical claims arising from pre-existing conditions, USAID Missions must ensure that Mission funds are available to pay such contingent claims, other medical insurance is available to cover such claims, or that other third parties (e.g. the participant, family, or host government) are prepared to pay such claims. The Mission is responsible for arranging for the prompt payment of such claims if and when they arise. If the Mission itself pays such claims, payment does not diminish any rights the Missions may have to seek reimbursement from a third party.

HIV/AIDS Cases: Missions may request the conduct of an HIV test, the results of which must be included on the medical examination form. Should a participant be found to have HIV/AIDS, the Mission Director must issue a waiver for the participant to attend the training program. A person known to be HIV-positive or to have AIDS must be identified to the U.S. Consular Officer, along with a justification as to why travel to the United States is in USAID's interest. The Consular Officer must cable the INS (Immigration and Naturalization Service) requesting approval for the person to enter the U.S., and cannot issue a J-1 visa without previous INS approval. A response normally takes ten working days.

If HIV/AIDS is determined to be a pre-existing condition, it will not be covered by HAC. However, if the participant has been in the U.S. more than 12 months and then incurs costs from HIV/AIDS, the diagnosis cannot be ruled as pre-existing.

Activity 4 – Participant Enrollment in Health and Accident Coverage (HAC)

Enrollment

All participants whose training in the United States is wholly or partially financed by USAID are to be enrolled in the Health and Accident coverage (HAC) program. Participants coming to the United States on an E&E training program may not depart from their home country without HAC insurance.

HAC covers the usual, customary, and reasonable charges for required medical services with minor required co-payments. It is essential that the participant be made aware of procedures to be used in obtaining medical care as any billing considered unreasonable will not be fully reimbursed. The HAC program exists to ensure that adequate medical coverage is provided for all USAID-financed participants.

HAC coverage begins at the time the participant leaves his/her home country and continues until the moment of return to the home country. HAC coverage applies

to U.S. training and travel to and from the home country only. Agency HAC contracts do not cover any training that takes place outside the United States.

Participants are to be advised that USAID is not responsible for any medical claims in excess of coverage provided by the HAC program or for medical claims not eligible for coverage under the program.

Limitations and exclusions are listed in the HAC brochures, which may be requested from the HAC providers (see below). Expenses incurred by participants for such non-covered services are the responsibility of the Mission, host government, or participant. It is important to remember that the cost of treatment for conditions determined to be pre-existing, whether identified during the pre-departure examination or not, will not be borne by the HAC program.

Please also note that medical costs incurred as a result of automobile accidents should be paid by the primary automobile insurance provider. However, HAC will cover medical expenses incurred due to an automobile accident (whether the participant is driving or not) should they not be covered by a primary automobile insurance provider.

The implementing contractor obtains HAC insurance for U.S. participants directly from the HAC provider: HTH Worldwide. The E&E Bureau has determined that HAC Plan B is to be used for all participants. This option provides coverage of 100 percent of Eligible Medical Expenses up to \$150,000. The basic medical deductible is \$10.00 per office visit, for which the participant is responsible.

The procedures for HAC enrollment were changed effective January 1, 1999. HAC information is now exchanged directly between the training contractor and the HAC insurance provider. Procedures for enrolling in HAC are found on devIS's website at: www.devis.com/client_support/usaidd/hac. devIS is USAID's support contractor for information on HAC. Enrollment may be completed electronically via email with the HAC provider. Complete procedures for enrolling by email are also found on the devIS website.

All questions regarding coverage, billing, refunds/credits, and claim disputes should go directly to the HAC provider. If the provider is not providing adequate service, contact Ms. Linda Walker, USAID/G/HCD, by email at lwalker@usaidd.gov.

Double Coverage by Educational Institutions or Others

Long-term participants in a USAID academic training program who are enrolled at an educational institution or other training site may also be covered by a mandatory health program sponsored by that institution, with the cost included in tuition or as a separate mandatory fee. USAID contractors may pay the cost of the double coverage, provided that the cost of such plan does not exceed that required of all other students or all other foreign students. Other coverage does not exempt USAID participants from the HAC Program, which is mandatory. Participants with double coverage are required to use the institution's insurance or health facilities to the maximum extent of coverage before employing the HAC program. The HAC contract administrator is required to ensure that claims

submitted to HAC have first exhausted the coverage of the other plans. In the event the HAC program pays claims covered by such other plans, the HAC program will seek reimbursement from such plans pursuant to the Assignment and Subrogation Statement signed by the participant as part of the Conditions of Training.

Repatriation of Terminally Ill or Incapacitated Participants

Except as provided below, a USAID participant is repatriated to the country of origin whenever the participant is diagnosed as having a mental or physical disease or disorder that will unduly delay or prevent successful completion of the training program. This requirement may be waived only with the concurrent approval of G/HCD, the Mission Director, and the appropriate Central or Regional Bureau.

In cases of such diagnosis, HAC will cover medical costs only until the point of repatriation. If repatriation is delayed after diagnosis beyond the earliest time when repatriation is medically feasible, HAC coverage will terminate as of the date of initial feasibility.

Submission of Claims

The participant is ultimately responsible for ensuring that all claims for medical services are submitted to the HAC contract administrator. Pre-departure orientation meetings must clearly establish this responsibility as well as explain the normal procedure for health insurance in the United States. The medical provider will submit the claim to the HAC provider, minus the co-payment amount (\$10 per medical incident or illness) which in turn must be paid at the time medical services are rendered. HAC claim forms should be used; however, the universal claim form will be honored.

Each claim must include the participant's name, full identification number as it appears on the HAC identification card, signatures of the participant and the medical provider, a diagnosis, date of service, and the type of service provided.

All claims must be submitted within six months of the date that service was provided.

HAC Option C

Because of the probability that USAID could be held liable for the payment of medical expenses not covered by Plan C, the Bureau has made HAC Plan C unavailable to participants of the E&E participant training program. Further, the Bureau strongly recommends that Plan C not be used for Technical Assistance Contractor/grantee training in the E&E region.

Activity 5 – J-1 Visa

If a foreign national enters the United States as a sponsored student/trainee and receives any funding from the U.S. government, that national must enter on a J-1 visa. Regardless of the duration of stay, the type of training program, or participant status, E&E Missions and the implementing contractor(s) cannot

determine or waive the conditions under which a J-1 visa is requested. J-1 visas are issued only for the projected duration of the training program.

Participants who already hold valid B-1/B-2 visitor visas must still obtain J-1 visas to attend a U.S. training event. After training and return to the home country, participants may travel again to the U.S. using their valid B-1/B-2 visas. The two-year residency requirement must be satisfied but need not be consecutive.

It is important to determine early in the process whether the participant has a passport. Obtaining a passport may be a lengthy process, and there may be no way to expedite processing within the host country.

The required form for establishing a participant's eligibility for J-1 visa status is the IAP 66A visa application. It is a controlled/numbered form which is provided to USAID contractors and grantees by:

United States Agency for International Development
Center for Human Capacity Development
ATTN: Ms. Linda Walker
3.09-083 Ronald Reagan Building
Washington, D.C. 20523-3901

The implementing contractor(s) and Missions are responsible for preparing in a timely fashion the IAP 66A form for each participant, including certification of medical eligibility, Health and Accident Coverage (HAC), and English proficiency.

The implementing contractor who prepares for USAID signature IAP 66As for either the initial visa or visa extensions must complete such forms fully. IAP 66As must be submitted to G/HCD a minimum of 60 days before the expiration date of the existing IAP 66A. The originating Mission or contractor must ensure that the visa end date (stamped in the participant passport at the U.S. Consulate) does not exceed the estimated completion date of record on the IAP 66A. Participants picked up from other visa sponsorship must not be currently out of status.

All forms must be typed with no "white out" corrections; neither birth date nor training dates may be struck out and retyped.

A U.S. officer designated by the USAID Mission as Responsible Officer (RO) or the Alternate Responsible Officer (ARO) signs the IAP 66A. It is the mission's responsibility to provide G/HCD with the position title of the U.S. citizen RO and ARO who, in addition to signing, are responsible for ensuring control of IAP 66A forms provided to the Mission. The Mission must notify G/HCD (attention Ms. Linda Walker) if there is a change in the RO or ARO signing authority. Such notification may be done via email to lwalker@usaid.gov. G/HCD requires a form to be completed and mailed for any new RO/ARO authorization. However, once an email is sent, the authorized officer may start signing immediately.

Exact procedures vary by region. In some E&E countries the Mission is responsible and for others the Mission has designated the implementing

contractor's country director as signatory. Again, the RO and ARO must be U.S. citizens. This responsibility may not be delegated to a local staff member who is not a U.S. citizen.

The distribution of the IAP 66A is as follows according to ADS 253 Mandatory Reference: white, yellow and pink copies of the IAP 66A are given to the participant for presentation to the Consular Office. The green copy is retained by the Mission with the blue copy is forwarded to G/HCD.

Because the IAP 66A is a controlled form, contractors are required to complete an IAP 66A Usage Report (AID 1384-1) and submit it on a regular basis to Ms. Linda Walker, G/HCD, at the above address. IAP 66A forms must be kept secure and under lock and key.

Duplicate IAP 66As

The contractor or Mission must prepare duplicate IAP 66As for all lost IAP 66A forms and for participants traveling outside the United States who do not have a valid J-1 visa stamp in their passport. Duplicate copies of IAP 66As must be provided if a new visa application is required when the J-1 visa stamped in the participant's passport has expired. In addition, a duplicate IAP 66A must be provided for dependents who travel separately from the participant.

A copy of Mission approval for travel must accompany any request to sign a duplicate IAP 66A. As part of the monitoring function, a participant must continue to have a valid visa if he/she did not receive an IAP 66A valid for the entire program, and must secure the necessary approvals to maintain a valid visa from G/HCD.

If the participant is traveling outside the United States and returning during the program, the back of the pink copy of the IAP 66A must be signed by a designated Responsible or Alternate Responsible Officer at the sending mission or by G/HCD. A signature must be obtained for each period of travel outside the U.S. The contractor or participant then asks the U.S. Consular Officer for a multiple entry J-1 visa stamp when first applying for the visa.

Two-Year Residency Requirement

The J-1 visa carries with it a two-year residency requirement. The Mission or implementing contractor is required to notify participants that they may not apply for an immigrant visa or an H or L nonimmigrant visa until they have completed two years of post-training residency in their home country. Training candidates must be notified of this fact before they accept USAID sponsorship. Note that marriage to a U.S. citizen does not exempt a participant from the two-year home-country residency requirement. Participants may, however, apply for and use visitor visas or B visas during the two-year period referenced above.

The Conditions of Training form that must be signed by the participant (see Appendix 8) states that he or she is NOT to seek or accept a new training program until they have returned home and completed their two-year residency requirement. The exception to this would be a follow-on program sponsored by

USAID or sanctioned by USAID. In these exceptional cases, participants are permitted to apply for (from their home country) and receive a second J-1 visa for USAID training or training sponsored by another donor. If the sponsor is not USAID, donor coordination is necessary and USAID should issue a “no objections” statement to the Consulate. Issuing a second J-1 visa within the original two-year residency period does not cancel the original two-year residency requirement. The required 24-month residency need not be consecutive, but it must be completed for each J-1 visa issued.

Only the State Department, in consultation with G/HCD, is authorized to review and grant waivers of the two-year residency requirement. In case of a review, G/HCD often requires program information from the monitoring contractor and/or sponsoring unit.

Transfer of Visa Sponsorship

Transfer of J-1 visa sponsorship from USAID to another program (such as a university program) is not permitted except when USAID was erroneously listed as the sponsor. Only G/HCD has the authority to make such a transfer.

Activity 6 – Language Testing

USAID requires individuals attending training programs in the United States to demonstrate certain levels of language proficiency before enrolling in programs taught in English. Verification of participants' proficiency in English is required for J-1 visa eligibility unless an interpreter is to be arranged. The language requirement applies to both formal classroom training and observation/study tours. The Agency has observed that people with marginal language capabilities not only fail to gain from participating in the training programs, but also suffer from stress associated with an inability to communicate.

USAID uses one of two tests, both developed by the American Language Institute at Georgetown, to assess language proficiency. The first test, ALIGU EPT, prescreens academic participants (who may also have to take the generally required TOEFL test administered by the Educational Testing Service) and tests participants who will be involved in extensive research and writing. The second test, the Communicative English Proficiency Assessment (CEPA), assesses an individual's ability to understand spoken English. It is administered to individuals or groups that will be engaged primarily in technical, short-term programs.

Both tests can be administered in the host country, but the number of persons authorized to administer the tests is controlled. It is not sufficient to speak with a person and make a judgment concerning language ability. A standardized test is required. Given that most of E&E training is of short duration and technical, the CEPA is most often used because it is more appropriate and easier to administer; however, the ALI/GU EPT is also acceptable.

Participants must have the following minimum ALI/GU EPT or CEPA scores to qualify for U.S. training:

	Listening	Grammar	Reading and Vocabulary
EPT	85	75	80
CEPA	65	-	-

If a participant has a marginal (either failing or passing) CEPA score, he/she may not undergo an oral examination to evaluate language ability more fully. Oral examinations are difficult to design and administer and implementing contractor(s) or Mission personnel should not be placed in a position of evaluating language ability.

Waiver of language verification requirement.

In exceptional cases, the appropriate USAID official may grant a waiver or exemption of the language verification requirement. Please note that once the examination is given it cannot be waived.

Participants require no testing and are presumed competent in English if their secondary and post-secondary education was conducted in English or if within the five years preceding the proposed training, they completed an academic degree taught in English in the U.S., UK, Ireland, Canada, Australia, or New Zealand. The designee of the COTR makes such a determination on a case-by-case basis.

STAGE 3 – Training Provider Selection

Training Provider services under the E&E Regional Participant Training Program will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the implementing contractor(s) and approved by the Office of Procurement, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

Activity 1 – Determine Mode of Procurement

The implementing contractor(s) will determine the type of procurement to be used for obtaining training provider services for each training event using the guidelines detailed in this section of the handbook.

The implementing contractor(s) will generally be required to competitively solicit for training services to carry out tailored U.S. training events. However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. The criteria for non-competitive procurement are as follows:

- The training activity is advertised with a published cost per participants and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the field Mission is largely identical to a training activity competitively awarded in the past. Further, the evaluation of the program was better than average. The cost of the

program should therefore decline because the development costs were captured in the original award.

- The training activity is based on participant involvement in technical assistance programs. Given an established relationship between participants and the provider of technical assistance, the training will further that relationship. To move to a different provider would weaken the training.
- The training provider will charge no tuition for the classroom components of the training activity; out-of-pocket costs will be charged with no fee or overhead. However it should be noted that free training does not necessarily mean quality training.

In any other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified above for a non-competitive procurement, the Mission must request sole source procurement. A sole source procurement request with justification is most appropriately documented in the Training Request.

Activity 2 – Request for Training Proposal

Competitive Procurement

The contractor identifies potential training providers throughout the United States in order that participants returning to their home country have had the opportunity to experience the rich cultural, educational, historical and political heritage of different geographic regions in the U.S.

If possible, the contractor should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the E&E Regional Participant Training Program and approved by USAID's Office of Procurement. Documentation of the interaction should be retained in the contractor's program files.

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

For multi-mission events that are to be competitively procured, the implementing contracting office involved will work on the text of the Request for Training

Proposal and will identify potential training providers to receive it. The contractor will also carry out all administrative responsibilities for running the competition.

The implementing contractor(s) must take into account several factors when reviewing proposals. Among them are the following:

- The implementing contractor(s) will adhere to a cost containment strategy when evaluating a training proposal. For U.S. training the established cost ceilings are: \$1,820 per participant per week (excluding international travel and HAC) for groups of less than 6; \$1,790 per participant per week (excluding international travel and HAC) for groups of 6-14; and \$1,550 per participant per week (excluding international travel and HAC) for groups of more than 14.
- Expertise of trainers.
- Topics and methodologies of program designed to meet specific needs of participants.
- Time allowed for professional networking.
- “Experience America” component as part of the itinerary.
- MSIs (Minority Serving Institutions).
In accordance with Presidential executive orders and official memoranda from the Assistant Administrator for the E&E Bureau, E&E Missions are mandated to endeavor to maintain a strong level of interaction and partnerships with Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Institutions. The established E&E Bureau target of MSI participation is 10%. As training providers, MSIs offer a wide range of expertise that may greatly enhance E&E training programs. To assist the Missions in this effort, the Bureau has established a Minority Serving Institutions and Small and Disadvantaged Business Committee. The contact person for the committee is Ms. Del Davis. She may be reached by email at odavis@usaid.gov. Please see Appendix 5 for a list of Minority Serving Institutions.

Specific information on what USAID looks for in a training provider may be found on the E&E Regional Participant Training website at www.eetraining.net.

Non-Competitive and Sole Source Procurement

The E&E Bureau requires that the implementing contractor(s) obtain training proposals from **all** training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The implementing contractor(s) is responsible for ensuring the quality of all training implemented through the E&E Regional Participant Training Program and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process.

Activity 3 – Procurement Documentation

Competitive Procurement

Once potential providers submit a bid for competitive procurement, the material sections (training design and cost) of each proposal are carefully reviewed. The implementing contractor(s) recommends the most cost-effective, quality training program to the USAID Mission through a recommendation memo. The recommendation memo and proposals should also include a budget for the training event. The recommendation memo may also serve to clear approval for any costs exceeding ceilings or the training request budget.

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

The USAID Mission makes the ultimate determination regarding who will present the training program. The Mission may not necessarily choose the implementing contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The implementing contractor will request explanation from the Mission should their recommended provider not be chosen.

Non-Competitive Procurement

The implementing contractor(s) will provide the Mission with documentation which supports non-competitive procurement in either of the following cases: 1) the Mission has mandated a training provider without competition and the circumstances meet the criteria for non-competitive procurement; or 2) the implementing contractor has identified, through research, a potential provider where the circumstances meet the criteria for non-competitive procurement. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation should be included in the TERF (Section C.7 and Section G, under comments) and must be approved by the Mission.

Sole Source Procurement

In those instances where the Mission has requested sole source procurement with a specific training provider, the implementing contractor will prepare, using justification provided by the Mission, appropriate documentation for the sole source procurement. Such documentation should be included in the TERF (Section C.7 and Section G, under comments). If Mission approval has not been obtained through the TERF, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

STAGE 4 – Training Implementation Plan (TIP)

Activity 1 – Prepare and Submit TIP

The Training Implementation Plan is a document prepared by the implementing contractor(s) that holds in one place all the critical information of the U.S. training event, including the travel schedule, training itinerary, and budget.

Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- training subject;
- training dates;
- program objectives;
- itinerary including day-to-day description of course and training methodologies;
- travel and lodging arrangements with corresponding daily costs; and
- budget worksheet (including waiver for exceeding \$1,450 ceiling for per participant/per week cost for U.S. training in NIS if needed).

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

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

Once the TIP is signed, a copy without budget information is given to each participant. Appendix 6 provides a sample TIP.

<p>Documentation of Mission Approval of Costs: The budget section of the TIP should be in the Bureau approved budget worksheet format (called BWS). Please see sample in Appendix 6. This format should be used unless the Mission specifies another format. Any subsequent increases in cost in excess of 10% should be sent to the Mission for approval using a revised version of the already prepared TIP BWS. The previous cost and the new cost should be readily visible on the BWS. An explanation of cost increases should also be included.</p>
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Activity 2 – Arrange for Travel

Agency policy requires that the host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure, including incidental costs. However, a standard waiver to the policy may be included in the Mission’s Training Order.

If USAID does finance the travel, certain rules apply as outlined below:

- All USAID-funded travel must be on U.S. flag carriers unless such carriers do not operate from a host country, in which case participants are to be transferred to a U.S. flag carrier at the first practical exchange point. Entry to and exit from the United States MUST be on US flag carriers. Because the "Fly America" regulation is not a USAID regulation, but a U.S. legislative requirement, USAID may not waive it. Failure to use U.S. carriers for paid transportation may result in the contractor/grantee having to pay for the air travel. If the U.S. government is not paying for air travel, there are no prohibitions regarding air carriers.
- All participants are limited to economy-class travel.
- If travel costs are shared, the US financed portion of an international trip must be arranged in accordance with USAID rules governing international travel.
- Participants are allowed up to 22 pounds of excess accompanying baggage at the beginning and end of the training program (provided that the total weight does not exceed 140 pounds). Air freight shipments cannot be made in lieu of the accompanying excess baggage allowance. U.S. air carriers generally limit baggage on domestic flights to two checked items of 70 pounds each and one carry-on item per passenger. USAID will not provide allowances for any excess.
- Participants are allowed layovers on scheduled flights in excess of 14 hours.
- Costs of anticipated and necessary intra-city or local travel are to be included in the participant's maintenance allowance.

Cost Consideration. Prudent travel planning with advance bookings can save considerable sums by using discounted airfares. In addition, booking a substantial number of participants on the same airline may also result in the receipt of "free" tickets. Time of the year also affects the availability of lower-cost airfare.

Activity 3 – Arrange for Lodging

The costs of daily lodging shall not exceed the lodging rates established in the U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates. The TIP must clearly indicate each city and the corresponding daily lodging rate(s). To assist USAID with its efforts to contain costs, every effort should be made to obtain participant lodging at below CONUS rates.

It is E&E Bureau policy that participants are to be housed in double-occupancy accommodations, and it is expected that per participant lodging costs will be significantly below the CONUS rate, which is based on single occupancy. Contractor(s) should ensure that double rooms include two beds.) If the Mission should determine that the double occupancy requirement is to be waived, documentation of the Mission waiver may be provided via the approved training request, email, or hard copy memorandum depending on Mission preference. If

circumstances force the lodging costs to exceed the maximum rate allowed by CONUS, justification and Mission approval must be documented.

Cost Consideration. It is important to remember that the time of year for the planned training will affect housing costs. Programs normally presented by colleges and universities are less expensive in the summer due to the availability of both instructors and on-campus housing. Observation tours scheduled in the off-season will benefit from lower hotel rates. Efforts to negotiate concessions with providers will be more successful during non-peak periods which are normally winter in the north and summer in the deep South.

Activity 4 – Arrange for Interpreters

An interpreter is a requirement for non English-speaking groups or individuals coming to the United States for training.

Making arrangements for interpreters is not necessarily easy or inexpensive. The interpreter must be fully capable of either simultaneously or consecutively repeating word for word the information presented. Ideally, classroom interpreting should be simultaneous, with the classroom either set up for interpreting (built-in equipment, interpreter booth, and so forth) or equipment brought in. Simultaneous interpreting without equipment can be disconcerting for the lecturer. Consecutive interpretation can be successful, although it slows the training pace. Consecutive interpreting is best suited to observation study tours.

Poor interpretation is often noted as a negative factor in program evaluations. Hiring the best interpreter is one of the critical elements in a successful training program. The negative effects of poor interpreting are wide-ranging.

Here are some key considerations when arranging for interpreters:

- U.S. government funding of an interpreter or escort, whether directly or by indirect source, makes USAID or its contractor the U.S. employer. As such, the contractor must hire only interpreters or escorts qualified to work in the United States. Therefore interpreters may not be hired in the field as it may be a violation of U.S. labor laws, for which the penalties are severe. This requirement cannot be waived by the Mission. (However, it should be noted that ADS 253 does offer an alternative approach if cost-sharing via host country contributions or other local-source funding can be accessed to support the hiring of an interpreter. If the interpreter or escort can be hired without the use of U.S. government funds then local interpreters can be hired in the field.)
- Interpreting is a skill. Not all people who speak a language can interpret, especially at conferences and during classroom sessions.
- There is no central marketplace for interpreters. The State Department maintains a roster of interpreters, but they are normally available only to other government agencies.
- Interpreters' rates for each program must be negotiated to the lowest possible rate based on the level of interpretation needed for the

particular program. Department of State rates for interpreter services are no longer to be used as the basis for establishing interpreter fees.

- Simultaneous interpretation is particularly strenuous. Generally, an interpreter will not agree or be able to work a class or conference alone.
- An individual participating in the training activity may not act as an interpreter for other participants. Participants who know English are never assigned collateral interpreter duties while participants. They are not trained in interpreter skills, and such duties would detract from their learning experience.
- Escorts cost less than interpreters. In addition to basic compensation, escorts receive supplemental pay for serving as an escort officer and providing interpreter services to a group of five or more participants. The interpreter/escort receives the same travel and per diem as the participants served.

In evaluating training programs, USAID examines the quality and background of the escort and interpreter services provided. As mentioned above, poor interpretation is often the leading reason for a poorly evaluated program and professional, competent interpreting is crucial to the success of the training.

STAGE 5 – Pre-departure Orientation

Activity 1 – Orientation Arranged by Implementing Contractor

The implementing contractor is required to provide a pre-departure orientation for participants of U.S. training events. The orientation outlines the travel schedule, the goals of the program, administrative details, and American culture and practices. Individuals who do not attend some orientation before leaving their country evidence less satisfaction with their training because of higher levels of stress dealing with unfamiliar situations without preparation. Thus an orientation is an integral part of the training program.

The orientation should include the following:

- introduction of action plans;
- logistical information;
- review of the content of the training activity;
- review and signing of the Conditions of Training and Objectives Memo;
- information regarding U.S. social customs;
- information on expenses;
- explanation of insurance;
- explanation of J-1 visa requirements; and
- emergency contact information.

Activity 2 – Action Plans

Action Plans are required for E&E training program participants. Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they

return to their home country. Developed with input from the training provider as well as with that of other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan should be drawn up before participants' departure, but it will evolve during the course of training.

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

Activity 3 – Objectives Memo and Conditions of Training Form

Objectives Memo

Each participant must sign an Objectives Memo that outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the training event. Missions may use the sample Objectives Memo provided in this handbook. (See Appendix 7.) The objectives memo may be used in lieu of the stakeholder agreement.

The Conditions of Training Form

The implementing contractor(s) must ensure that the Conditions of Training form (USAID Form 1381-6) is explained and signed by each participant and Mission. The Conditions of Training Form may be presented with the Objectives Memo as part of one package.

The Conditions of the Training form specifies the following:

- compliance with J-1 visa requirements to return home immediately upon program completion;
- limitation of HAC insurance;
- reasons for termination of program;
- prohibitions against purchasing or driving an automobile while in the U.S. without contractor concurrence; and
- prohibitions against bringing a spouse or other dependent to the U.S. during the period of sponsored training without prior approval from the Mission and without making arrangements with the contractor for appropriate visa, health insurance, and dependent support.

The Conditions of Training form provides the participant with the basic rules that he/she must follow while in training (e.g., abiding by U.S. laws). The form is a "contract" between the Agency for International Development and the trainee. Because it covers most of the critical USAID rules and regulations relating to sponsored training, the Conditions of Training form is also a useful review of requirements for contractors who are new to training.

The trainee should be provided with a copy of the form and asked to read it carefully before signing and accepting the sponsored training. All contractors should be aware of the contents and be prepared to answer questions regarding the rules and regulations. Most of the answers are contained in this Handbook. Trainees should be provided with a signed copy of the Conditions of Training form for their own records and be advised to review it from time to time. It is both appropriate and recommended that the project officer sign the form before delivering it to the trainee to sign. The major function of the form is to communicate in the strongest manner possible USAID requirements to trainees.

See Appendix 8 for a copy of the Conditions of Training form.

Activity 4 – Predeparture and Maintenance Allowances

Predeparture Allowances

Contractors are asked to ensure that the trainees have some travel funds readily converted to cash, such as traveler's checks, to suffice for the first day or two upon arrival. The funds will give the participants time to receive and cash their allowance checks.

Because of different circumstances in each country, the contractor/grantee will need to make whatever arrangements are necessary for ensuring the availability of currency. If U.S. currency is available, the implementing contractor(s) will be expected to provide an advance maintenance allowance in cash.

Whether or not funds are available, arrangements need to be made so that the participants have access to funds as soon as they arrive in the U.S. If the implementing contractor(s) meets the trainees, the first order of business should be to process and cash allowance checks, converting much of the money into traveler's checks. If another organization is meeting the trainee, the purchase of money orders to be delivered on arrival will help get the program off to a good start.

Maintenance Allowances

USAID relies on a prescribed payment structure for participant allowances for all sponsored programs. The rates undergo a review and update (as needed) every year. Given that each contract or grant includes a clause that the recipient of funds agrees to follow Agency training policies, contractor(s) must obtain the most recent allowance rates when structuring a program.

USAID-sponsored participants must receive the allowance rate prescribed by the Agency below, unless the CTO gives authorization for a higher rate.

Short-term Training. For short-term participants in programs under nine months, allowance rates are based on the Standardized U.S. Government Federal Travel Regulations and may be found on the State Department website policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel/shtml. A link to the per diem rate is also found on the E&E Regional Participant Training Website at www.eetraining.net. Lodging receipts are required for all participants receiving

standardized rates. The Meals and Incidentals Expenses allowance must be paid directly to the participant.

Missions and implementing contractor(s) are reminded that allowances may be adjusted in accordance with the cost of the program. Paying for accommodations directly and providing participants only with Meals and Incidental Expenses (M&IE) has proven to be cost-effective.

Activity 5 – Participant Taxes

Federal Tax Law stipulates that all J-1 visa holders receiving US funding must file U.S. Tax returns (including state and local, as required by local law) regardless of actual tax liability. USAID holds its contractors, grantees, and cooperative partners and their participants responsible for all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations.

The implementing contractor(s) must assign each participant to the appropriate tax category as far in advance of the nomination process as possible and then budget for income taxes accordingly.

Pure Scholarship-Fellowship Academics (Category 1). Category 1 participants generally have a foreseeable federal tax liability. They are enrolled in an accredited degree-granting U.S. academic institution and are either studying toward a degree or receiving training in a recognized occupation. These participants did not leave a permanent job in their home country; left a permanent job to obtain training for another job in a different field; or have a promise of a job upon completion of USAID-funded training, with training required for that job.

Short-Term Job-Related Trainees (Category 2). Category 2 participants generally have no foreseeable federal tax liability. They are in training related to their home country employment. Such training is conducted at U.S. academic institutions or at private and/or public sector training facilities. The duration of their job-related training is 12 months or less. Category 2 participants may rely on 26 CFR 1.162-2 to document their away-from-home status. Category 2 trainees pass all three parts of the “Claimed abode test”, which permits IRC Section 162(a) deductions for away-from-home expenses incurred during training assignments not to exceed one year. Category 2 participants have no foreseeable federal tax liability because business-related expenditures and personal maintenance expenditures are allowed as itemized deductions.

Long-Term Job-Related Trainees (Category 3). Category 3 participants generally have a foreseeable federal tax liability. These participants are in training related to their home-country employment, conducted at US academic institutions or at private and/or public sector training facilities. The duration of the job related training is 12 months or more and is: (a) required by the home country employer for the participant to keep his/her present job; or (b) for the purpose of maintaining/improving skills for the present job. Category 3 participants

generally have a foreseeable federal tax liability because only the qualified tuition and job-related expenditures are allowed as exclusions or itemized deductions.

Non-Scholarship, Non Job-Related Trainees (Category 4). Category 4 participants generally have a foreseeable federal tax liability. They are not studying for a degree and do not meet any criteria for job-related status. As a practical matter, they are generally high school students or 4-H trainees. Generally, all of their support is taxable.

Tax Treaty Country Trainees (Category 5). Category 5 participants generally have no foreseeable federal tax liability. Contractors must refer for details to IRS Publication 901: U.S. Tax Treaties. These participants come from countries with which the United States has a ratified tax treaty and therefore may be exempt from payment of some or all taxes, but they must file an informational return in order to claim the exemption. Treaties do not always apply to students, trainees, teachers, or researchers. Thus contractors, Missions, and Bureaus must read treaties and specifically identify the article or section that applies to their participants.

Sometimes a Category 5 trainee has a foreseeable federal tax liability. This can occur if the participant's program exceeds the time limits on length of residency imposed by the treaty or the dollar limits imposed by the treaty on income imposed.

Romania and Slovak Republic in the CEE region currently have tax treaties in force. In the NIS region, tax treaties are in force for Kazakhstan, Kyrgyzstan, and the Russian Federation, and the Commonwealth of Independent States which includes Armenia, Azerbaijan, Belarus, Georgia, Moldova, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan.

Contractors/grantees arranging training for E&E participants are responsible for familiarizing participants with current IRS regulations upon their arrival in the United States. Each participant is required to obtain a tax identification number by filing INS Form W-7 and accompanying documentation with the INS. The training implementation contractor(s) can provide minimal advice on what procedures need to be followed. It is possible that some arrangements may be made with the implementing contractor(s) to handle much of the tax documentation; however, implementing contractor may not be held responsible for any errors or omissions relating to tax filing or payment. This responsibility may not be delegated by the organization paying the participant costs or by the participant him/herself. The tax orientation should include the signing of a W4 Form and, if appropriate, a Tax Treaty Exclusion Statement. Becoming familiar with IRS requirements, procedures, and responsibilities relating to U.S. income tax and filing is the responsibility of the organization making payments to the participant.

Among other things, a Statement of Expenditures detailing training-related expenditures paid from U.S. sources on behalf of the participant must accompany each income tax filing on behalf of participants.

Since it is USAID policy to pay participant income taxes on the income resulting from the official training program, project officers and contractors must budget for participant taxes in those cases where taxes are liable to be due. If withholding and/or tax payment is necessary, a line item in the budget must be created from which taxes can be taken. Maintenance cannot be the source for withheld taxes. Since IRS documents and laws change from year to year, contractors are encouraged to remain current with IRS regulations regarding trainees.

Exclusions

Any fines, fees, or interest levied against a contractor/grantee by the IRS for not following IRS regulations regarding filing, reporting, and so forth cannot be paid from USAID funds. In addition, all fines, late fees, and interest imposed on an Agency-funded participant due to negligence of the contractor/grantee or participant will be paid for by the contractor/grantee or participant from other than USAID funds.

USAID will not provide funding for participant income taxes in the following cases:

- USAID will not fund any tax, penalties, or interest associated with its contractors', grantees', or cooperative partners' failure to comply with federal, state, and/or local statutes and regulations governing the timely reporting, withholding, and/or payment of withholding tax on amounts of participants' U.S. source income.
- USAID will not fund any tax, penalties, or interest for that period of time when participant trainees are in non-returnee status.
- USAID will not fund any tax, penalties, or interest on any sponsored trainees income received from sources outside the United States.
- USAID will not fund any tax, penalties, or interest on any sponsored trainees income received from non-USAID sources, except as allowed pursuant to required assistantships, required paid internships, and required on-the-job training.
- USAID will not fund any tax, penalties, or interest for participants who return to the U.S. after completion of their USAID-sponsored training and incur retroactive tax liabilities for the time spent under USAID sponsorship.

Activity 6 – Other Issues That May Arise

Dependents

The E&E Bureau makes no provision allowing dependents to accompany participants, particularly as most programs are short term and technical in nature and the participant must remain highly focused on the program without distraction.

Missions should establish a policy on dependent travel. Missions should remember that USAID has no obligation to pay for accompanying family members of a J-1 participant. Support of J-2 dependents is the sole responsibility of the J-1 participant. To approve or disapprove the travel of a dependent, the Mission

officer uses the Dependent Certification form. (Please see Appendix 9 for a copy of the form.) The form is not sent to G/HCD but can remain in the Mission field office.

In determining total expenditure estimates for the Dependent Certification, consideration must be given to the total number of dependents and the expected length of stay in the country of training. Adequate financial expenditure estimates are based on the cost of living in the area where the participant is located. A general rule is that 50 percent of the monthly maintenance for the area is required for each accompanying dependent.

The dependents' health insurance coverage must be arranged, and be reimbursed by the participant, to ensure that the insurance is not canceled and is renewed as necessary. It is the responsibility of the participant to ensure that return tickets for dependents do not expire (are kept updated with the issuing airline).

The contractor must clearly inform the participant in writing that employment for purposes of supporting dependents will not be approved.

Visa Extensions

Training programs may be extended only if there is a clear and compelling justification for continued training.

ADS 253 Mandatory reference states that extensions may be requested, but never beyond the duration of the training program. A complete IAP 66A form and a brief letter to G/HCD for a J-1 visa extension request should include the following:

- contract, grant, loan number, or other agreement identification symbols;
- names of dependents, if any, in the United States; and
- any supporting documentation for the extension (e.g., copy of the training request extension) and proof of Mission and host government approval of the requested extension.

The request for an extension is reviewed and the IAP 66A signed by G/HCD. The signed IAP 66A form is then returned to the requesting office and provided to the participant.

It is important to note that under no circumstances may an IAP 66A be requested for longer than the actual period of training. Any personal reason under which the participant remains in the U.S. on a J-1 visa after the training program concludes – such as vacation or visitation of family and friends – is a violation of federal J-1 guidelines and ADS 253. Participants are also ineligible for HAC benefits beyond the duration of training. A participant on a J-1 visa must return home after training. These regulations cannot be waived by the Mission. Any period of vacation or non-training-related time spent in the U.S. must occur before training and must take place under the appropriate visa.

Program Termination

Early termination may occur as a result of the following:

- failure in the technical program;
- change in course of study without approval;
- failure to carry a full course load or laboratory schedule as prescribed by the academic or training institution;
- failure to pursue the practical training component of the program;
- health problems that materially interfere with the training program;
- conduct contrary to the laws of the country of training;
- bringing dependents to the country of training without prior approval;
- employment in the United States or country of training without prior USAID approval;
- acceptance of public welfare funds;
- failure to abide by the commitments in the Conditions of Training form or to comply with other requirements specified in ADS 253 or the E&E Training Handbook; or
- dependent accompaniment without prior approval or lack of insurance for dependents while in the United States.

The implementing contractor(s) must immediately notify the CTO and Mission should an incident occur that may cause the early termination of the participant's involvement in the program.

When the program of a USAID-sponsored participant is threatened to be terminated due to his/her poor performance, misconduct or unlawful conduct in the United States, the contractor is to inform G/HCD, the CTO, and the USAID Mission of the problem(s) involving the participant. Together, these entities will determine the program termination. The implementing contractor will be responsible for making the arrangements for the return of the participant and will keep the Mission informed of arrival. In cases of early program termination involving sensitive personal information that could negatively affect the participant's future, the use of official Department of State/USAID communications facilities and the classification "Sensitive but Unclassified" should be considered.

Participant Legal Issues

In case of arrest, the implementing contractor must notify G/HCD and E&E/EEST immediately and in writing regardless of the circumstances. Neither USAID nor the trainee's monitoring agent may aid or abet the participant's departure from the United States before the date of trial. If a participant must remain past the projected return date for reasons related to arrest and trial, financial arrangements must be put in place to provide appropriate accommodations until the participant's trial is over and a final legal determination is rendered by the court.

Any legal fees incurred by or on behalf of individual participants while in the status of a USAID-sponsored trainee are not allowable costs for USAID payment or reimbursement unless USAID initiated a request for such legal counsel and fees.

Emergency Participant Travel/Training Guidelines

During periods of uncertainty regarding security and travel into and out of the United States, the following procedures are to be used regarding U.S.-based participant trainees.

- If return travel cannot be arranged, due to unavailability of flights or airport closures to coincide with the end of program date, no IAP66A extension is necessary for a period of time not to exceed 30 days from the end of program date. ADS 253 requires all USAID participants to have an IAP66A valid for the dates of the program only, with departure immediately following program completion.
- The situation is beyond the control of E&E participants. Therefore, participants in status are to be provided with maintenance allowances and health and accident (HAC) insurance to cover the additional days needed to finalize travel from the U.S. to their home country. Sponsoring units and monitoring contractors should take whatever steps are necessary to guarantee maintenance be continued. If the participant can cover the cost of the maintenance during this time, then the participant should be reimbursed as soon as possible after their return home.
- Participants scheduled for short programs who have not yet departed their home country but who have completed processing and have a J-1 visa stamped in their passport which has an end date that comes before the new program start date must be provided with a new IAP66A. A new J-1 visa stamp must be secured prior to travel.
- The validity of the duration of the medical examination form for pre-departure medical examinations for participants scheduled to travel may be extended to 5 months if necessary.

STAGE 6 – Monitoring Participants and Reporting

Activity 1 – Contractor Conducts Monitoring

Monitoring of E&E training participants is specified by the Bureau's scope of work for the training implementation contractor(s).

By maintaining regular contact with participants in training, the contractor(s) can ensure that trainees are progressing in their learning experience. The contractor can also readily identify problems and resolve them rapidly. Regular contact with the participants also contributes to participants' sense of security.

At a minimum, monitoring should ensure that:

- the participant has arrived and settled into appropriate living quarters;
- the training program meets the requirements outlined in the Training Implementation Plan;

- the participant is enrolled in a full course of study if in an academic program or is regularly attending scheduled activities and/or sessions if in a technical program;
- the participant is progressing adequately in the course of study;
- no serious personal/health problems develop that will prevent successful completion of the program;
- participants' J-1 visas are valid through the duration of the training (if not, the contractor/grantee must secure the necessary approvals from G/HCD); and
- departure arrangements are made upon completion or termination of the program and the appropriate USAID Mission is informed of the arrangements.

For technical programs the implementing contractor generally stays in regular contact with the training provider and can be alerted through that channel if problems arise. In addition, a personal call to the participant or representative of the group through an interpreter is usually part of the monitoring procedure.

A site visit to a technical program may be conducted when appropriate. The implementing contractor can then evaluate the training provider and the provider's management of the training event. Programmers will interview participants and meet with providers. When working with groups that do not speak English, program managers might ask the group to designate a spokesperson who may be contacted for reports on behalf of all participants. For academic training, the contractor is recommended to make a site visit after the first three months and regularly thereafter.

There is no required form for monitoring progress for short-term technical programs, but the implementing contractor(s) should document progress for their records, external audits, and evaluations.

Activity 2 – Administer Exit Questionnaires and Event Assessment Reports

At the end of every U.S. training program, the implementing contractor(s) is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide Missions with feedback on the quality of the training program and the likely application of the knowledge, skills, and attitudes gained by participants during their training.

The exit questionnaires are critical for the contractor(s)' self-evaluation of their implementation and management of the participant training event. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or successive training cycles, especially follow-up activities.

For multi-Mission training events in the U.S., the implementing contractor is responsible for ensuring exit questionnaires are completed by participants and forwarded, as appropriate, to the other field offices participating in the event.

Activity 3 – Non-returnees

A trainee becomes a non-returnee upon failure to comply with the return date agreed to by all parties. This date may be the date determined for the participant to return to work; the date of departure from the U.S. on the IAP 66A, allowing for travel time home; or the agreed-to date of a formal meeting between the returnee and the USAID Mission or in-country contractor. While a rare occurrence, non-returnees still represent a serious, constant issue.

The implementing contractor(s) must track participants for timely return to their professional setting in their home countries. The Mission or implementing contractor must provide a Non-Returnee Report to the E&E/EEST and to G/HCD as soon as a participant is classified as a non-returnee. Preliminary communication regarding the status of the participant is immediately sent via email. For those participants who are determined to be still in the United States, G/HCD will advise the INS regarding non-returnee status.

Efforts at reducing the non-returnee rate must be constant and should focus on event planning and design, participant selection, and progress monitoring as well as on tracking participants' post-training whereabouts.

Activity 4 – TraiNet

All E&E Missions are required to report all U.S. training events via the Agency-mandated database called TraiNet. The implementing contractor(s) tabulates participant data using TraiNet on behalf of the Mission. TraiNet is the only database to be used for participant data reporting. Use of TraiNet is an Agency wide requirement specified under ADS 253.

The Office of Management and Budget (OMB) approved use of TraiNet in accordance with the Paperwork Reduction Act.

Chapter 4

Preparation and Documentation for Third-Country Training

All training funded by USAID through its worldwide missions is managed by Agency Directive ADS 253. This chapter follows closely, and in many cases states directly, the contents of ADS 253. ADS 253 takes precedence over the contents of this handbook. The Bureau, Missions, and implementing contractor(s) are responsible for adhering to ADS 253.

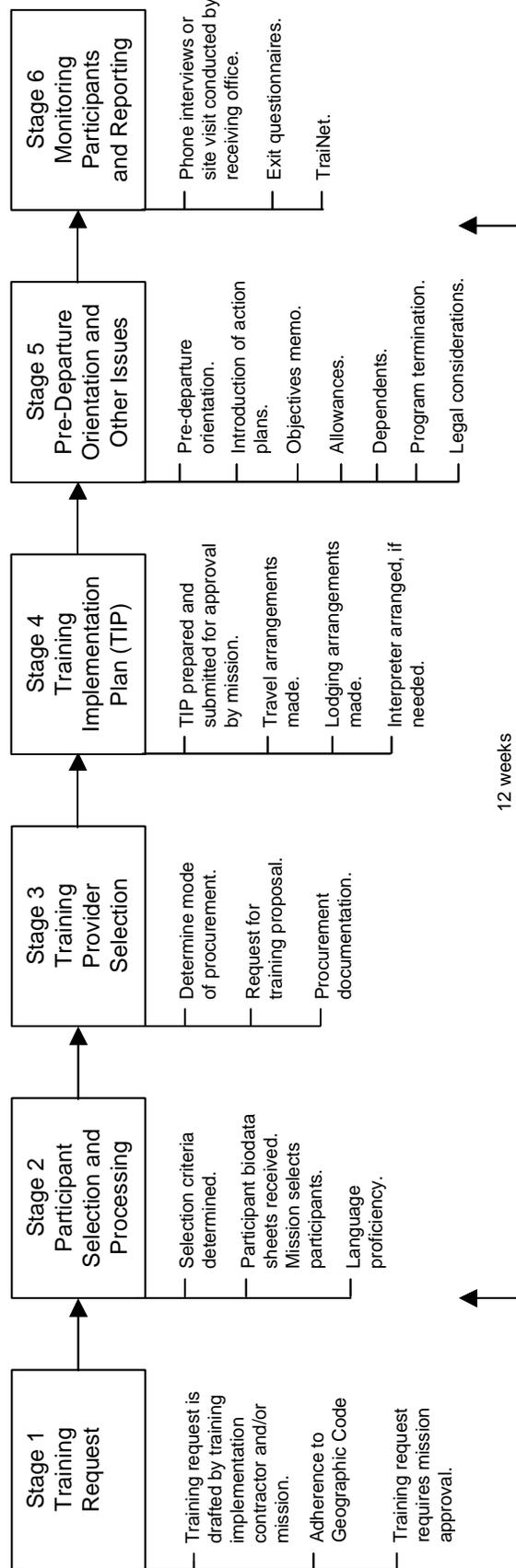
Chapter four outlines and specifies the required preparation and documentation necessary for USAID-sponsored third-country participant training (TCT). The reader will notice some repetition of policies that are discussed in chapters 3, 5 and 6. Implementing training in a third country carries with it some unique responsibilities and therefore certain regulations must be followed. Especially important for TCT is determining the responsibility between the sending office and the receiving office in the country of training. This can be particularly challenging, especially if the third country has no USAID Mission or training implementation contractor. However, with the proper amount of lead time, organizing TCT training should be simple and cost-effective.

While the chapter lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the E&E Bureau (E&E/EEST) to ensure that they comply with Agency directives and the implementing contractor(s)' task orders.

This chapter includes not only Agency-wide requirements, but also requirements based on the implementing contractor(s)' task orders as developed by the E&E Bureau to address issues particular to Europe and Eurasia. The procedures must be followed to ensure execution of a quality training event in the most efficient, results-oriented, cost-effective manner possible. The flow chart on the next page illustrates the key required steps and activities for implementing third country training.

While this chapter has been written specifically for the E&E Regional Participant Training Program, the guidance contained within is strongly recommended for *all* training in the region, including technical assistance training.

**IMPLEMENTING THIRD COUNTRY TRAINING
REQUIRED STEPS AND ACTIVITIES***



* The sequence presented in the chart may not be exact for every training event.

STAGE 1 – The Training Request

Activity 1 – Drafting the Training Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed training requests. In either case, the implementing contractor is required to enter all training requests through the Training Interventions On-line Library (TIOL), which is available on the USAID/E&E Regional Participant Training Website (www.eetraining.net).

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

The sending Mission needs to identify the receiving office in the third country that will assist with the training program and then submit an inquiry to that office. The receiving office reviews the request and, after deeming it feasible, assists in identifying potential training sites. Third-Country Training (TCT) may take place within Europe and Eurasia where the USAID Mission and its implementing contractor would be considered the receiving office.

TCT may also take place in a country that does not have a training implementation contractor or even a USAID Mission, for example, Canada. ADS 253 Supplementary References states: “in cases where the receiving country does not have a USAID Mission, the management of the third-country training program should be accepted by one of the following entities:

- the U.S. embassy in the country of training;
- the embassy of the host government in the country of training;
- a designated programming agent hired to serve as a representative to develop, administer, monitor and evaluate the training; or
- the training institution is willing and able to handle the training and managerial responsibilities.”

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

number of participants who will attend the event from their country. E&E/EEST must be notified of any multi-mission training events being planned.

Appropriate lead time must be considered when requesting a training event. When a training request for TCT is ready to move forward, the minimum **lead time** for implementation of the third-country event is three months. The three-month lead time is Bureau policy and must be adhered to regardless of the type of training, be it a tailored program, a conference or seminar; the number of participants; or type of program procurement. The lead time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training and allows the Mission and implementing contractor to review the implementation plan with care to ensure full preparation of the participants.

Cost Consideration. Appropriate lead time allows for “comparison shopping” and cost negotiations. If it is necessary to select participants quickly, the effective cost of the program may be higher as “dropouts” may not be adequately replaced. For example, if a program is scheduled for 15 people and only 10 attend, the unit cost increases markedly as the provider has certain fixed costs which will not be affected by a smaller group size. If participants are scheduled to depart within a week or two after the identification of a provider, the ability of the placement agent to successfully negotiate cost reductions is minimized since there is no leverage. Travel and hotel arrangements made without appropriate lead time will also drive up costs.

In the design of a training program, a cost-sharing formula should be followed whenever possible depending on case-specific capabilities. ADS 253 states that 25 percent financial or in-kind contribution by other contributors is a general target. The cost-sharing arrangement should be captured in TEOL and TraiNet.

For third-country training, the implementing contractor(s) is required to get Mission approval if the per participant/per week **costs** exceeds the following **ceilings** (ceilings include all training fees, interpretation, daily lodging, M&IE and domestic travel): \$1,820 per participant/per week for events with less than six participants; \$1,830 per participant/per week for events with 6-14 participants; \$1,220 per participant/per week for events with more than 14 participants.

In an effort to streamline cost approval documentation for its programs, the E&E Bureau has determined the following as the minimum appropriate documentation of Mission approval of training costs: the training request, the recommendation memo (see below), the TIP (see below), and a justification for exceeding the applicable cost ceilings if needed. Approval of all costs, including any necessary exceptions to the ceilings, should be included in one or all of the above documents. No extra approval memo would therefore be necessary. Individual Missions may, however, require additional documentation.

Activity 2 – Adherence to Geographic Code 935

The Bureau has determined that for the E&E Regional Participant Training Program, the location of third-country training must adhere to the conditions set forth in geographic code 935. According to Geographic Code 935, third-country training may take place in any country except the following foreign policy restricted countries: Afghanistan, Libya, Vietnam, Cuba, Cambodia, Laos, Iran, Iraq, North Korea, Syria, or the People's Republic of China.

Only the Mission Director may approve of training in foreign policy restricted countries with written documentation for the file or justification in the training request.

For training funded outside of the E&E Regional Participant Training Program, the location of third-country training should adhere to the conditions set forth in Geographic Code 941, as cited in ADS 253, unless otherwise stated in the contract under which those participants are funded.

Activity 3 – Mission Approval

All training requests must be approved by the sending Mission. Approval usually occurs when the Mission signs a hard copy of the training request. As they become part of the Training Plan, training requests are often reviewed and signed by several managers in the Mission, such as the SO Team leader, Program Officer, and/or Mission Director. When the highest-level approval is received, the training request is approved and the training implementation contractor may begin to commit to or incur costs.

STAGE 2 – Participant Selection and Processing

Activity 1 – Selection Criteria Determined

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who perform well and complete the training on time, benefit from the training, return to their home country, and are likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact.

Agency and Bureau guidelines have been developed to assist a selection committee in establishing selection criteria. The guidelines include the following:

- Participants should not be chosen based on any interests that go beyond the training program and the achievement of Strategic Objectives.
- Patronage should be avoided and selection criteria must be transparent. Nominations must be based on objective criteria and not politically motivated.

- Alternate candidates for training should always be identified in case of unanticipated drop-outs. If drop-outs are not replaced by qualified candidates, there may be cost implications for the Mission.
- Candidates must be citizens and residents of the host country. Persons holding citizenship or residency in other countries are not eligible except with a waiver approved by the Mission Director. U.S. citizens and U.S. permanent residents (e.g. green card holders) are not eligible for USAID-sponsored training unless the need for such training is critical to achieving the Strategic Objective. The Mission must approve this exception on an individual basis.
- For third-country training, third-country nationals may be approved by the SO Team on a case-by-case basis. Considerations normally include cost-effectiveness and the likelihood of the third country national's return to work in the host country.
- USAID grantee and cooperative agreement recipient staff may be eligible to attend E&E participant training events as participants. These participants may continue to receive salaries during training as long as the grant or cooperative agreement authorizes it or unless otherwise authorized by the Mission or Regional Contracting/Grant Officer.
- It is E&E Bureau policy that USAID contractor staff are not eligible to attend training events as participants.

About Event Observers. USAID contractor staff may attend training events as observers if they fund their own attendance and do NOT use the implementing contractor for any logistical assistance. The E&E Bureau stresses the importance of including any observer(s) in the pre-departure orientation discussion so that their role(s) is clearly defined to the entire group. This approach will ensure that the observer(s) understand how the program is organized and lessen the chance that the said observer(s) might disrupt the program by attempting to change the schedule and/or aspects of the program.

- Candidates should have a clear understanding of the objectives of USAID-sponsored training and evidence a strong personal commitment to participate fully in the training event. Candidates must understand fully that they are obligated to return home after the training and should be completely aware of their responsibilities as participants.
- Participants should possess sufficient academic or other skills/experience to meet prerequisites that enable them to complete the programs successfully.
- Participants should have completed their military requirements or otherwise be exempt from conscription.
- Participant should not have been trained previously under a USAID-sponsored U.S. training event. However, repeat participants are permissible, and justification for selecting a repeat participant should be included in the nomination list (see below) that the Mission must approve.

- E&E Missions are to maintain a gender balance when selecting participants. An annual target of 50 percent women for third-country training has been established by the Agency. Missions may receive assistance in meeting this target from the Global Bureau's Office of Women in Development (G/WID).

Missions should attempt to include for training qualified persons with disabilities and members of disability-oriented organizations. The additional cost that may be incurred for a disabled participant is not a sufficient justification for precluding the participation of a qualified disabled participant from. (Processing for disabled participants is the same as for other participants except that additional equipment or special accommodations may be needed. Missions must ensure that each disabled participant carries sufficient insurance to cover the disability. A disability is defined as a physical or cognitive impairment that affects a major life function.)

Cost Consideration. If groups are to be programmed, group size can have a substantial impact on cost. Other costs affected by group size are transportation and interpretation (if required). Often groups are transported by vans that normally accommodate seven to 15 people, including the driver. If groups are of an odd number or if there is an odd number of men to women, this will result in increased cost as single hotel accommodations will be required.

Activity 2 – Training Application Form

The implementing contractor(s) will issue invitations to potential participants based on decisions from the Mission selection committee. Such participants are then required to complete a training application form and submit it to the implementing contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event. All training application forms must contain the following language near the applicant's signature line: Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the training that I may receive under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties. The implementing contractor assembles the participant nomination list and submits it for required Mission approval. The Mission is solely responsible for selecting and approving participants.

Activity 3 – Medical Examination and Insurance

ADS 253 Supplementary Reference states that TCT participants should meet the medical examination requirements of both their own government and the country of training. Missions are encouraged to use the standard medical examination form found in Appendix 3. Pre-existing conditions should be reported to the Mission. However, as HAC does not cover third-country training except when incidental to U.S. training, the waiver procedures are not employed.

The sending office must determine if appropriate insurance coverage will be provided in the receiving country.

Mission policy may determine responsibility for payment of the medical examination costs according to local circumstances. Exam and ancillary costs (travel to place of examination) may be wholly or partially paid by the Mission. This policy should be documented in the Mission Training Order.

Activity 4 – Visas

The implementing contractor for the sending Mission is responsible for ensuring that all participants have the appropriate visas for third-country training. No forms need to be submitted to G/HCD for TCT visas.

Activity 5 – Language Proficiency

If an interpreter is not to be used and a sending Mission doubts a given participant's ability in the language in which the training is to be conducted, a language assessment should be arranged. The receiving office may be able to assist with the assessment. If the training program is to be conducted in English, a CEPA exam should be arranged.

STAGE 3 – Training Provider Selection

Training Provider services under the E&E Regional Participant Training Program will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the implementing contractor and approved by the Office of Procurement, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

Activity 1 – Determine Mode of Procurement

The implementing contractor(s) will determine the type of procurement to be used for obtaining training provider services for each training event using the guidelines detailed in this section of the handbook.

The implementing contractor(s) will generally be required to competitively solicit for training services to carry out tailored third-country training events. However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. The criteria for non-competitive procurement are as follows:

- The training activity is advertised with a published cost per participants and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the field Mission is largely identical to a training activity competitively awarded in the past. Further, the evaluation of the program was better than average. The cost of the

program therefore should decline because the development costs were captured in the original award.

- The training activity is based on participant involvement in technical assistance programs. Given an established relationship between participants and the provider of technical assistance, the training will further that relationship. To move to a different provider would weaken the training.
- The training provider will charge no tuition for the classroom components of the training activity; out-of-pocket costs will be charged with no fee or overhead. However, it should be noted that free training does not necessarily mean quality training.

In any other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified above for non-competitive procurement, the Mission must request a sole source procurement. A sole sourced procurement request with justification is most appropriately documented in the Training Request.

Activity 2 – Request for Training Proposal

Competitive Procurement

The contractor identifies potential training providers for the training activity through research and by sending out a Request for Training Proposal. If possible, the contractor should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with procedures developed specifically for the informal, limited competition of the E&E Regional Participant Training Program and approved by USAID's Office of Procurement. Documentation of the interaction should be retained in the contractor(s)' program files.

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

For multi-mission events that are to be competitively procured, the implementing contractor office involved will work on the text of the Request for Training Proposal and will identify potential training providers to receive it. The contractor that has an office in the country in which the training is proposed to take place will be responsible for sending out the request for proposal. This contractor will also carry out all administrative responsibilities for running the competition.

The implementing contractor(s) must take into account several factors when reviewing proposals. Among them are cost ceilings for third-country training (see Activity 1), expertise of trainers, topics and methodologies meet specific needs of the participants, and that time is allowed for professional networking.

Specific information on what USAID looks for in a training provider may be found on the E&E Regional Participant Training website, www.eetraining.net.

Non-Competitive and Sole Source Procurement

The E&E Bureau requires that the implementing contractor(s) obtains training proposals from **all** training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The implementing contractor(s) is responsible for ensuring the quality of all training implemented through the E&E Regional Participant Training Program and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process.

Activity 3 – Procurement Documentation

Competitive Procurement

Once potential providers submit a bid for competitive procurement, the material sections of each proposal are carefully reviewed. The implementing contractor recommends the most cost-effective, quality training program to the USAID Mission through a Recommendation Memo. The recommendation memo and proposals should also include a budget for the training event. The recommendation memo may also serve to clear Mission approval for any costs exceeding training request budget.

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

The USAID Mission makes the ultimate determination regarding who will present the training program. The Mission may not necessarily choose the implementing contractor's recommended provider. However, the USAID Mission is required to sign the Recommendation Memo indicating either approval of the recommended provider or selection of another proposed training provider. The implementing contractor will request explanation from the Mission should their recommended provider not be chosen.

Non-Competitive Procurement

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

documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation should be included in the TERF (Section C.7 and Section G, under comments) and must be approved by the Mission.

Sole Source Procurement

In those instances where the Mission has requested sole source procurement with a specific training provider, the implementing contractor will prepare, using justification provided by the Mission, appropriate documentation for the sole source procurement. Such documentation should be included in the TERF (Section C.7 and Section G, under comments). If Mission approval has not been obtained through the TERF, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

STAGE 4 – Training Implementation Plan (TIP)

Activity 1 – Prepare and Submit TIP

The Training Implementation Plan is a document prepared by the implementing contractor(s) that holds in one place all the critical information of the third-country training event including the travel schedule, training itinerary, and budget. The TIP is executed as soon as the implementing contractor is notified of USAID's selection of the training provider.

Required elements of a TIP include the following:

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

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

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

Once the TIP is signed, a copy without budget information is given to each participant. Appendix 6 provides a sample TIP.

Documentation for Mission Approval of Costs. The budget section of the TIP should be in the Bureau mandated budget worksheet format (called BWS). Please see sample in Appendix 6. This format should be used unless the Mission specifies another format. Any subsequent increases in cost in excess of 10% should be sent to the Mission for approval using a revised version of the already prepared TIP BWS. The previous cost and the new cost should be readily visible on the BWS. An explanation of cost increases should also be included.

Activity 2 – Arrange for Travel

Travel of participants to and from a third country for training should be planned in the safest, most cost-effective way possible. Missions and the implementing contractor(s) should work together to determine the best means of transportation. Depending on how far away the country of training is, train, plane, bus or rental vehicle are among the options.

Agency policy requires that the host country or other non-USAID funding sources pay the cost of round-trip international travel and home-country travel to and from the point of departure, including incidental costs. However, a standard waiver to the policy may be included in the Mission's Training Order.

If a plane is needed certain restrictions apply:

If USAID finances the travel, certain rules apply as outlined below.

- All USAID-funded travel must be on U.S. flag carriers unless such carriers do not operate from a host country, in which case participants are to be transferred to a U.S. flag carrier at the first practical exchange point. Because the "Fly America" regulation is not a USAID regulation but rather a US legislative requirement, USAID may not waive it. Failure to use U.S. carriers for paid transportation may result in the contractor having to pay for the air travel. If the U.S. government is not paying for the air travel, there are no prohibitions regarding air carriers.
- All participants are limited to economy-class travel.
- Per diem for a foreign layover may not exceed the Standard Government Travel Regulations. The cost of the layover should be included in the initial budget prepared by the programming agent.
- If travel costs are shared, the U.S. financed portion of an international trip must be arranged in accordance with USAID rules governing international travel.
- Costs of anticipated and necessary intra-city or local travel are included in the participant's maintenance allowance.

Activity 3 – Arrange for Lodging

The receiving office may provide a maximum recommended lodging rate based on knowledge of local circumstances. However, the costs of daily lodging shall not exceed the lodging rates as established by the State Department's Maximum Travel Per Diem Allowances for Foreign Areas (may be found on the State

Department website: www.state.gov). The TIP should clearly indicate each city and the corresponding lodging rate(s). To assist USAID with its efforts to contain costs, every effort should be made to obtain participant lodging at below the State Department per diem rates for foreign areas.

Unless otherwise noted in the Training Request and/or TERF, participants are to be housed in double-occupancy accommodations, and it is expected that per participant lodging costs will be significantly below the maximum allowed rate for foreign areas, which is based on single occupancy. The training implementation contractor(s) should ensure that double rooms include two beds.

Activity 4 – Arrange for Interpreters

An interpreter is a requirement for groups or individuals who do not speak the language that will be used in the training.

Making arrangements for interpreters is not necessarily easy or inexpensive. The interpreter must be fully capable of either simultaneously or consecutively repeating word for word the information presented. Ideally, classroom interpreting should be simultaneous, and the classroom either set up for interpreting (built-in equipment, interpreter booth, and so forth) or equipment is brought in. Simultaneous interpreting without equipment can be disconcerting for the lecturer. Consecutive interpretation can be successful, although it slows the training pace considerably. Consecutive interpreting is well suited to observation study tours.

Poor interpretation is often noted as a negative factor in program evaluations. Hiring the best interpreter is one of the critical elements in a successful training program. The negative effects of poor interpreting are wide-ranging.

Here are some key considerations to remember when arranging for interpreters:

- Interpreting is a skill. Not all people who speak a language can interpret, especially at conferences and during classroom sessions.
- When an interpreter is involved, the outcome of training depends, to a great deal, on the quality of the interpreter. Background, experience, and reference checks are important.
- Interpreters' rates for each program must be negotiated to the lowest possible rate, based on the level of interpretation needed for the particular program.
- Simultaneous interpretation is particularly strenuous. Generally an interpreter will not agree or be able to work a class or conference alone.
- An individual participating in the training activity may not act as an interpreter for other participants. Participants who know the language of training are never given collateral interpreter duties while participants. They are not trained in interpreter skills, and such duties would detract from their learning experience.
- Escorts cost less than interpreters. In addition to basic compensation, there is supplemental pay for serving as escort officer and for providing

interpreter services to a group of five or more participants. The interpreter/escort receives the same travel and per diem as the participants served.

In evaluating training programs, USAID looks at the quality and background of the interpreter and escort services provided.

STAGE 5 – Pre-Departure Orientation

Activity 1 – Orientation Arranged by Contractor:

The implementing contractor(s) is required to provide a pre-departure orientation for participants of third country training events, outlining travel and administrative details, and foreign culture and practices. Individuals who are not provided some orientation before leaving their country evidence less satisfaction with their training. This can be attributed to higher levels of stress in dealing with unfamiliar situations without preparation. Thus, an orientation is an integral part of the training program.

The orientation should include the following:

- introduction of action plans;
- logistical information;
- review of the content of the training activity;
- review and signing of Objectives Memo;
- information regarding local social customs;
- information on expenses; and
- emergency contact information.

Activity 2 – Action Plans

Action Planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider as well as with that of other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan should be drawn up before the participants' departure but it will evolve during the course of training.

In some instances an action plan is not appropriate. If the TCT event is five days or less, or is a large conference where the implementing contractor does not have personal contact with the participant, then an action plan is neither necessary nor required.

Activity 3 – Objectives Memo

Each participant must sign an objectives memo that outlines what the training program is intended to achieve. It is important for participants to acknowledge program goals and objectives. Participants must feel that they are committed to

doing their part in attaining the best results from the training event. Missions may use the sample objectives memo provided in this handbook (see Appendix 7). The objectives memo may be used in lieu of the stakeholder agreement.

Activity 4 – Pre-departure and Maintenance Allowances

Participants attending third-country training should be given a cash advance. The amount is to be determined by the sending Mission and implementing contractor in consultation with the receiving office. ADS 253 sets forth no guidelines for TCT maintenance allowances. A maximum rate for per diem should also be determined by the sending office. However, under no circumstances should per diem exceed the maximum rates based on U.S. Government Per Diem Allowances for Foreign Areas (which are found on the U.S. Department of State website).

It is best practice to provide allowances for third-country training in U.S. dollars. U.S. currency is easily exchanged in most countries.

Activity 5 – Other Issues That May Arise

Dependents

The E&E Bureau makes no provision for dependents to accompany participants, particularly as most third-country training programs are short-term and technical in nature and the participant must remain highly focused on the program.

Missions are authorized and urged to establish policies on dependent travel. Each Mission should establish a policy governing the travel of dependents eligible to accompany or join the participant to third-country training sites. To approve or disapprove the travel of a dependent, the Mission officer uses the Dependent Certification form (see Appendix 9). The form is not sent to G/HCD but can remain in the Mission field office.

USAID has no obligation to pay for a participant's accompanying family members. Support of dependents is the sole responsibility of the participant.

Program Termination

Early termination may occur as a result of the following:

- failure in the academic or technical program;
- failure to carry a full course load or laboratory schedule as prescribed by the academic or training institution;
- failure to pursue the practical training component of the program;
- health problems that materially interfere with the training program;
- conduct contrary to the laws of the country of training;
- bringing dependents to the country of training without prior approval;
- employment in the country of training without prior USAID approval;
- and
- failure to comply with other requirements specified in ADS 253 and this handbook.

The implementing contractor must immediately notify the CTO and Mission should an incident occur that may cause the early termination of the participant's involvement in the program.

When the program of a USAID-sponsored participant is threatened to be terminated due to his/her poor performance in the program, misconduct or unlawful conduct, the contractor is to inform the CTO and the USAID Mission of the problem(s) involving the participant. Together, these entities will determine the program termination. The implementing contractor will be responsible for making the arrangements for the return of the participant and will keep the Mission informed of arrival. In cases of early program termination involving sensitive personal information that could negatively affect the participant's future, the use of official Department of State/USAID communications facilities and the classification "Sensitive but Unclassified" should be considered.

Participant Legal Issues

In case of arrest, the implementing contractor must notify G/HCD and E&E/EEST immediately and in writing, regardless of the circumstances.

Any legal fees incurred by or on behalf of individual participant trainees in connection with their legal status or behavior while in the status of USAID-sponsored trainee are not allowable costs for USAID payment or reimbursement, unless USAID initiated a request for such legal counsel.

STAGE 6 – Monitoring Participants and Reporting

Activity 1 – Contractor Conducts Monitoring:

Monitoring of E&E third-country training participants is usually performed by the implementing contractor and/or receiving office. Monitoring requirements are written into the Bureau's scope of work for the contractor(s).

By maintaining regular contact with participants in training, the contractor/receiving office can ensure that trainees are progressing in their learning experience. The contractor can also readily identify problems and resolve them rapidly. Regular contact with the participants also contributes to participant's sense of security.

At a minimum, monitoring should ensure that:

- the participant has arrived and settled into appropriate living quarters;
- the training program meets the requirements outlined in the Training Implementation Plan;
- the participant is regularly attending scheduled activities and/or sessions of a technical program;
- the participant is progressing adequately in the course of study;
- no serious personal/health problems develop that will prevent successful completion of the program; and

- departure arrangements are made upon completion or termination of the program, and the appropriate USAID mission is informed of the arrangements.

For technical programs, the receiving office generally stays in regular contact with the training provider and can be alerted through that channel if problems arise. In addition, a personal call to the participants in a technical program is highly recommended and is usually part of the monitoring procedure. A site visit to a technical program may be conducted when appropriate. The receiving office will evaluate the training provider and the provider's management of the training event. In addition, the receiving office will interview participants and meet with the providers. When working with groups that do not speak English, program managers may ask the group to designate a spokesperson who may be contacted for reports on behalf of all participants.

For multi-Mission training events, the contractor located in the country of training is responsible for monitoring the program.

Activity 2 – Administer Exit Questionnaires and Event Assessment Reports

At the end of every third-country training program, the implementing contractor(s) administers an exit questionnaire to each trainee. The exit questionnaires are designed to provide Missions with feedback on the quality of the training program and the likely application of the knowledge, skills, and attitudes gained by the participants during the training. For third-country training, the exit questionnaire may be administered by the receiving office or by the sending office upon return of the participants.

The exit questionnaires are critical for the contractor(s)' self-evaluation of their implementation and management of the participant training program. Questionnaires also provide key data on the extent to which the participants feel that the expectations of the program were met. Such information can then be used to modify and improve ongoing or successive training cycles, especially follow-up activities.

For multi-Mission training events, the implementing contractor is responsible for ensuring exit questionnaires are completed by participants and forwarded, as appropriate, to the other field offices participating in the event.

Activity 3 – Enter Data in TraiNet

All E&E Missions are required to report all third-country training events via the Agency-mandated database called TraiNet. The implementing contractor(s) tabulates participant data using TraiNet on behalf of the Mission. TraiNet is the only database to be used for participant data reporting. Use of TraiNet is an Agency wide requirement specified under ADS 253.

The Office of Management and Budget (OMB) approved use of TraiNet in accordance with the Paperwork Reduction Act.

Chapter 5

Preparation and Documentation for In-Country Training

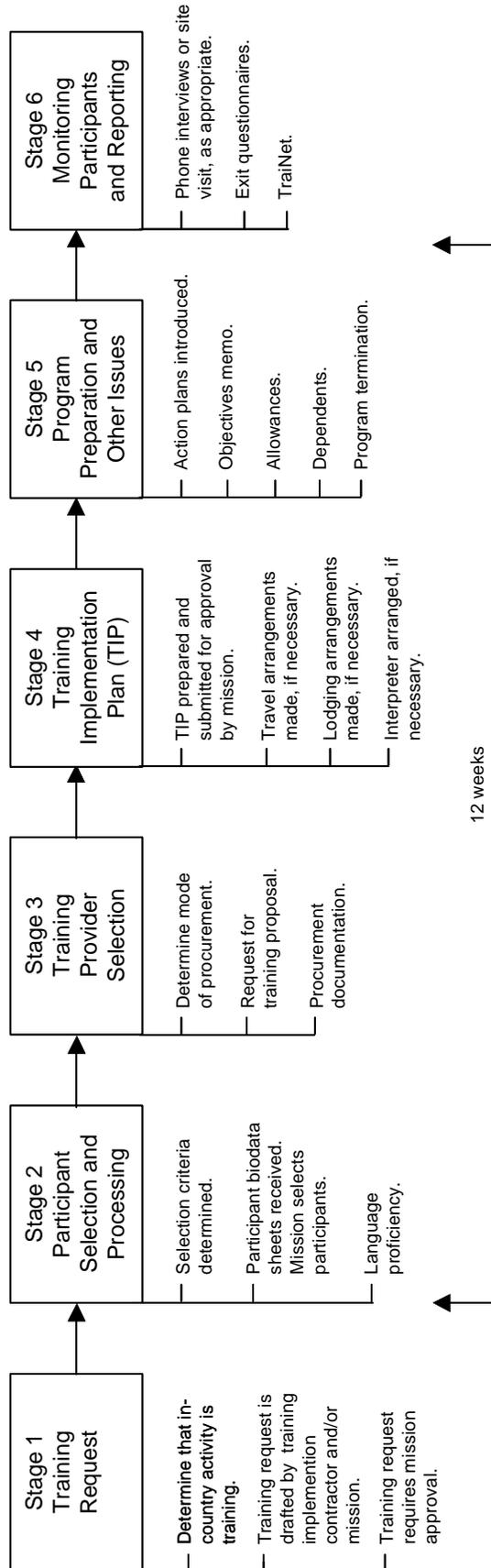
All training funded by USAID through its worldwide missions is managed by Agency Directive ADS 253. This chapter follows closely, and in many cases states directly, the contents of ADS 253. ADS 253 takes precedence over the contents of this handbook. The Bureau, Missions, and implementing contractor(s) is responsible for adhering to ADS 253.

Chapter five outlines and specifies the required preparation and documentation necessary for USAID-sponsored in-country participant training. The reader will notice some repetition of policies previously discussed in chapters 3 and 4. However, implementing in-country training carries with it some unique responsibilities and therefore certain regulations must be followed. ICT may require an increase in the level of effort for the local based contractor staff as ICT events may have large numbers of participants. Although many logistical arrangements such as visas and medical exams are not required for ICT, the ICT training provider may need additional assistance due to being in an unfamiliar environment, or being inexperienced in managing an event. While the chapter lays out the minimal procedural requirements for conducting participant training, individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the E&E Bureau (E&E/EEST) to ensure that they comply with Agency directives and the implementing contractor(s)' task orders.

This chapter includes not only Agency-wide requirements, but also requirements based on the implementing contractor(s)' task orders as developed by the E&E Bureau to address issues particular to Europe and Eurasia. The procedures must be followed to ensure execution of a quality training event in the most efficient, results-oriented, cost-effective manner possible. The flow chart on the next page illustrates the key required steps and activities for implementing in-country training.

While this chapter has been written specifically for the E&E Regional Participant Training Program, the guidance contained within is strongly recommended for *all* training in the region, including technical assistance training.

**IMPLEMENTING IN-COUNTRY TRAINING
REQUIRED STEPS AND ACTIVITIES***



* The sequence presented in the chart may not be exact for every training event.

STAGE 1 – The Training Request

Activity 1 – Draft the Training Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed training requests. In either case the implementing contractor(s) is required to enter all training requests through the Training Interventions Online Library (TIOL), which is available on the USAID/E&E Training Website (www.eetraining.net).

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

For multi-mission training events, the Mission technical officers and the training implementation contractor field offices will produce the training request. Final design of the training request should be coordinated equally by all Missions and contractors who will be involved in the training event regardless of which country originated the training event concept or is piggybacking onto it. While all Missions will collaborate on the content of the training request and the final design of the event, each Mission involved must create their own training request indicating the number of participants who will attend the event from their country. The Bureau's training office must be notified of any multi-mission training events being planned.

Appropriate **lead time** must be considered when requesting a training event. When a training request for in-country training (ICT) is ready to move forward, the minimum preferred lead time to implement the in-country event is 8 to 12 weeks. The 8 to 12-week lead time should be adhered to regardless of the type of training, be it a tailored program, conference or seminar; the number of participants; or the type of procurement. Appropriate lead time allows participants to develop the skills needed to participate fully in the training and allows the Mission and implementing contractor to review the implementation plan with care to ensure full preparation of the participants.

Cost Consideration. Appropriate lead time allows for “comparison shopping” and cost negotiations. If it is necessary to select participants quickly, the effective cost of the program may be higher as “dropouts” may not be adequately replaced. For example, if a program is scheduled for 15 people and only 10 attend, the unit cost increases markedly as the provider has certain fixed costs which will not be affected by a smaller group size. If participants are scheduled to depart within a week or two after the identification of a provider, the ability of the placement

agent to successfully negotiate cost reductions is minimized since there is no leverage.

In the design of a training program, a cost-sharing formula should be followed whenever possible depending on case-specific capabilities. ADS 253 states that 25 percent financial or in-kind contribution by other contributors is a general target. The cost-sharing arrangement should be captured in TIOL and TrainNet.

In an effort to streamline cost approval documentation for its programs, the E&E Bureau has determined the following as the minimum appropriate documentation of Mission approval of training costs: the training request, the recommendation memo (see below), and the TIP (see below). Approval of all costs, including any necessary waivers, should be included in one or all of the above documents. No extra approval memo would therefore be necessary. Individual Missions may, however, require additional documentation.

Activity 2 – Mission Approval

All training requests must be approved by the Mission. Approval usually occurs when the Mission signs a hard copy of the training request. As they become part of the Training Plan, training requests are often reviewed and signed by several managers in the Mission such as the SO Team leader, Program Officer, and/or Mission Director. When the highest-level approval is received, the training request is approved and the training implementation contractor may begin to commit to or incur costs.

STAGE 2 – Participant Selection and Processing

Activity 1 – Selection Criteria Determined

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who perform well and complete the training on time, benefit from the training, return to their home country, and are likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact.

Agency and Bureau guidelines have been developed to assist a selection committee in establishing selection criteria. These guidelines include the following:

- Participants should not be chosen based on any interests that go beyond the training program and the achievement of strategic objectives. Patronage should be avoided and selection criteria must be transparent.
- Selection committees may regard in-country training as a selection screening mechanism to help identify “rising stars” who may then be selected for U.S. training.

- Alternate candidates for training should always be identified in case of unanticipated drop-outs. If drop-outs are not replaced by qualified candidates there may be cost implications for the Mission.
- Candidates must be citizens and residents of the host country. Persons holding citizenship or residency in other countries are not eligible except with a waiver approved by the Mission Director. U.S. citizens and U.S. permanent residents (e.g. green card holders) are not eligible for USAID-sponsored training unless the need for such training is critical to achieving the Strategic Objective. The Mission must approve this exception on an individual basis.
- USAID grantee and cooperative agreement recipient staff may be eligible to attend E&E participant training events as participants. These participants may continue to receive salaries during training as long as the grant or cooperative agreement authorizes it or unless otherwise authorized by the Mission or Regional Contracting/Grant Officer.
- It is E&E Bureau policy that USAID contractor staff are not eligible to attend training events as participants.

About Event Observers: USAID contractor staff may attend training events as observers if they fund their own attendance and do NOT use the implementing contractor(s) for any logistical assistance. The E&E Bureau stresses the importance of including any observer(s) in the pre-departure orientation discussion so that their role(s) is clearly defined to the entire group. This approach will ensure that the observer(s) understand how the program is organized and lessen the chance that the said observer(s) might disrupt the program by attempting to change the schedule and/or aspects of the program.

- Candidates should have a clear understanding of the objectives of USAID-sponsored training and evidence a strong personal commitment to participate fully in the training event. Candidates should understand clearly that they are obligated to return home after the training and should be fully aware of their responsibilities as participants.
- Participants should possess sufficient academic or other skills/experience to meet prerequisites that enable them to complete the program successfully.
- Participants should have completed their military requirements or be exempt from conscription.
- E&E Missions should endeavor to maintain a gender balance when selecting ICT participants.
- Missions should attempt to include for training qualified persons with disabilities and disabled members of disability-oriented organizations. The additional cost that may be incurred for a disabled participant is not a sufficient justification for precluding the participation of a qualified disabled participant. (Processing for disabled participants is the same as for other participants except that additional equipment or special accommodations may be needed. Missions must ensure that each disabled participant carries sufficient insurance to cover the

disability. A disability is defined as a physical or cognitive impairment that affects a major life function.)

Cost Consideration. If groups are to be programmed, group size can have a substantial impact on cost. Other costs affected by group size are transportation and interpretation (if required). If groups are of an odd number or if there is an odd number of men to women, this will result in increased cost as single hotel accommodations (if needed) will be required.

Activity 2 – Training Application Form

The implementing contractor(s) issue invitations to potential participants based on decisions from the Mission selection committee. Such participants are then required to complete a training application form and submit it to the implementing contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event. All training application forms must contain the following language near the applicant's signature line: Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the training that I may receive under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties. The implementing contractor assembles the participant nomination list and submits it for required Mission approval. The Mission is solely responsible for selecting and approving participants.

Activity 3 – Medical Examination and Insurance

A medical examination is not required for in-country training. In-country training participants are not covered by HAC.

Activity 4 – Language Proficiency

If an interpreter is not to be used and a sending Mission has doubts about a given participant's ability in the language in which the training is to be conducted, a language assessment should be arranged. If the training program is to be conducted in English without an interpreter, a CEPA exam should be arranged.

STAGE 3 – Training Provider Selection

Training Provider services under the E&E Regional Participant Training Program will be procured through limited competition. Within the parameters of limited competition and approved by the Office of Procurement, training services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

Activity 1 – Determine Mode of Procurement

The implementing contractor(s) will determine the type of procurement to be used for obtaining training provider services for each training event using the guidelines detailed in this section of the handbook.

The implementing contractor(s) will generally be required to competitively solicit for training services to carry out tailored in-country training events. However, there will be specific instances where competitive solicitation will not be required and events may be awarded to training providers non-competitively. The criteria for non-competitive procurement are as follows:

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

In any other instances, where it has been determined by the Mission that the training provider services for an event will not be competitively procured, and the circumstances of the award do not meet the criteria specified above for non-competitive procurement, the Mission must request sole source procurement. A sole source procurement request with justification is most appropriately documented in the Training Request.

Activity 2 – Request for Training Proposal

Competitive Procurement

The contractor(s) identifies potential training providers for each training activity through research and by sending a Request for Training Proposal. If possible, the contractor should contact at least five training providers and send each a Request for Training Proposal (RFTP). Interaction with the potential training providers must be conducted in accordance with the procedures developed specifically for the informal, limited competition of the E&E Regional Participant Training Program and approved by USAID's Office of Procurement. Documentation of the interaction should be retained in the contractor(s)' program files.

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

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

The implementing contractor must take into account several factors when reviewing proposals. Among them are cost containment, expertise of trainers, and that the topic and methodologies of the program are designed to meet the needs of the participants.

Specific information on what USAID looks for in a training provider may be found on the E&E Regional Participant Training Website, www.eetraining.net.

Non-Competitive and Sole Sourced Procurement

The E&E Bureau requires that the implementing contractor(s) obtain training proposals from **all** training providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The implementing contractor(s) is responsible for ensuring the quality of all training implemented through the E&E Regional Participant Training Program and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process.

Activity 3 – Documentation of Procurement

Competitive Procurement

Once potential providers submit a bid for competitive procurement, the material sections of each proposal are carefully reviewed. The implementing contractor recommends the most cost-effective, quality training program to the USAID Mission through a recommendation memo. The recommendation memo and proposals should also include a budget for the training event. The recommendation memo may also serve to secure Mission approval of costs exceeding budget in training request.

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

The USAID Mission makes the ultimate determination regarding who will present the training program. The Mission may not necessarily choose the implementing contractor's recommended provider. However, the USAID Mission is required to sign the recommendation memo indicating either approval of the recommended provider or selection of another proposed training provider. The implementing contractor will request explanation from the Mission should their recommended provider not be chosen.

Non-Competitive Procurement

The implementing contractor(s) will provide the Mission with documentation which supports non-competitive procurement in either of the following cases: 1) the Mission has mandated a training provider without competition and the circumstances meet the criteria for non-competitive procurement; or 2) the implementing contractor has identified, through research, a potential provider where the circumstances meet the criteria for non-competitive procurement. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation should be included in the TERF (Section C.7 and Section G, under comments) and must be approved by the Mission.

Sole Source Procurement

In those instances where the Mission has requested sole source procurement with a specific training provider, the implementing contractor(s) will prepare, using justification from the Mission, appropriate documentation for the sole source procurement. Such documentation should be included in the TERF (Section C.7 and Section G, under comments). If Mission approval has not been obtained through the TERF, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

STAGE 4 – Training Implementation Plan (TIP)

Activity 1 – Prepare and Submit TIP

The Training Implementation Plan is a document prepared by the implementing contractor(s) that holds in one place all the critical information of the training event, including the training itinerary and budget. The TIP is executed as soon as the implementing contractor is notified of USAID's selection of the training provider. The implementing contractor(s) must prepare a TIP for all in-country training events.

Required elements of a TIP include the following:

- name of program;
- names of participants;
- name of training provider;
- training subject;
- training dates;

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

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

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

Once the TIP is signed, a copy without budget information is given to each participant. Appendix 6 provides a sample TIP.

Documentation of Mission Approval of Costs: The budget section of the TIP should be in the Bureau mandated budget worksheet format (called BWS). Please see sample in Appendix 6. This format should be used unless the Mission specifies another format. Any subsequent increases in cost in excess of 10% should be sent to the Mission for approval using a revised version of the already prepared TIP BWS. The previous cost and the new cost should be readily visible on the BWS. An explanation of cost increases should also be included.

Activity 2 – Arrange for Travel

If transportation to the event must be arranged, the implementing contractor(s) should work with the Mission to establish the best means. Some Missions reimburse participants up to a level not exceeding the cost of public transportation. Trains and buses are reliable means for participants who must travel to another city for in-country training. Each field office should have an established, recommended maximum rate for transportation from regions to the capital cities.

Travel arrangements should be made fairly early in the process to ensure that all requirements for travel can be met and to ensure that participants will arrive in time to enroll in their program.

Activity 3 – Arrange for Lodging

If participants are traveling to another city for an in-country event, they may require lodging in a hotel. The field offices, based on their knowledge of the region, should determine a recommended maximum USAID rate for lodging the cities where most of their in-country training takes place. However, the costs of daily lodging shall not exceed the lodging rates established by the State Department as Maximum Travel Per Diem Allowance Rates for Foreign Areas (found on the State Department website www.state.gov.)

The TIP should clearly indicate each city and the corresponding lodging rate(s). Unless otherwise noted in the Training Request and/or TERF, participants are to be housed in double-occupancy accommodations, and it is expected that per participant lodging costs will be significantly below the maximum U.S. Government rate, which is based on single occupancy. Contractor(s) should ensure that double rooms include two beds.

Activity 4 – Arrange for Interpreters

An interpreter is a requirement for participants in an in-country training event who do not speak the language to be used in the training.

Making arrangements for interpreters is neither easy nor inexpensive. The interpreter must be fully capable of either simultaneously or consecutively repeating word for word the information presented. Ideally, classroom interpreting should be simultaneous, and the classroom either set up for interpreting (built-in equipment, interpreter booth, and so forth) or equipment is brought in. Simultaneous interpreting without equipment can be disconcerting for the lecturer. Consecutive interpretation can be successful, although it does slow the training pace considerably.

Poor interpretation is often noted as a negative factor in program evaluations. Hiring the best interpreter is one of the critical elements in a successful training program. The negative effects of poor interpreting are wide-ranging.

Here are some key considerations to remember when arranging for interpreters:

- Interpreting is a skill. Not all people who speak a language can interpret, especially at conferences and during classroom sessions.
- The outcome of training that involves an interpreter depends, to a great deal, on the quality of the interpreter. Background, experience, and reference checks are important.
- Interpreters' rates for each program must be negotiated to the lowest possible rate based on the level of interpretation needed for the particular program. Implementing contractor and the Mission in each country should determine a recommended maximum rate for interpreting.
- Simultaneous interpretation is particularly strenuous. Generally, an interpreter will not agree or be able to work a class or conference alone.
- An individual participating in the training activity may not act as an interpreter for other participants. Participants who know English are never assigned collateral interpreter duties while participants. They are not trained in interpreter skills, and such duties would detract from their learning experience.

In evaluating training programs, USAID will look at the quality and background of the escort and interpreter services provided.

STAGE 5 – Pre-Program Preparation

Activity 1 – Action Plans

Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace. Developed with the input of the training provider as well as with that of the other participants over the course of the training event, action plans help establish clear goals and anticipated application. A preliminary action plan may be drawn up before participants' arrival at the training site but will evolve during the course of training.

In some instances an action plan is not appropriate. If the ICT training event is five days or less or is a conference involving a large number of participants where the implementing contractor does not have personal contact, then an action plan is not necessary or required.

Activity 2 – Objectives Memo

Each participant must sign an Objectives Memo that outlines what the training program is intended to achieve. It is important for the participants to acknowledge program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the training event. Missions may use the sample Objectives Memo provided in this handbook (see Appendix 7). The Objectives Memo may be used in lieu of the Stakeholder agreement.

In some instances an Objectives Memo is not appropriate for in-country training. As with the action plan, if the ICT event is five days or less or is a conference involving a large number of participants where the implementing contractor does not have personal contact, then an objectives memo is not necessary or required.

Activity 3 – Allowances

Meals and incidental expenses should be provided to trainees for the duration of the in-country training program. The implementing contractor(s) and Missions should determine an appropriate recommended maximum rate based on local circumstances. M&IE must never exceed the prescribed State Department Maximum Per Diem allowances for foreign areas.

In-country participants are not eligible for standard educational allowances or costs (as outlined for U.S. training). However, Missions may determine the appropriate allowances needed for achieving a successful training outcome.

Activity 4 – Other Issues That May Arise

Dependents

The E&E Bureau makes no provision for dependents to accompany participants, particularly as most in-country programs are short term and technical in nature

and do not require traveling a great distance, if at all. The participant must remain highly focused without distraction.

Missions are authorized and urged to establish policies on dependent travel. Each Mission shall establish a policy governing the travel of dependents. To approve or disapprove the travel of a dependent, the Mission officer uses the Dependent Certification form (see Appendix 9). The form is not sent to G/HCD but can remain in the Mission field office.

USAID has no obligation to pay for participants' accompanying family members. Support of dependents is the sole responsibility of the participant.

Program Termination

Early termination may occur as a result of the following:

- failure to pursue the practical training component of the program;
- health problems which materially interfere with the training program;
- conduct contrary to the laws of the country of training;
- failure to abide by the commitments and requirements specified in ADS 253 and this handbook.

The implementing contractor must immediately notify the CTO and Mission should an incident occur that may cause the early termination of the participant's involvement in the program.

When the program of a USAID-sponsored participant is threatened to be terminated due to his/her poor performance in the program, misconduct or unlawful conduct, the contractor is to inform the CTO and the USAID Mission of the problem(s) involving the participant. Together, these entities will determine the program termination. In cases of early program termination involving sensitive personal information that could negatively affect the participant's future, the use of official Department of State/USAID communications facilities and the classification "Sensitive but Unclassified" should be considered.

STAGE 6 – Monitoring Participants and Reporting

Activity 1 – Contractor Conducts Monitoring

Monitoring of E&E training participants is specified by the Bureau's scope of work for the implementing contractor(s).

By maintaining contact with participants in training, the implementing contractor can ensure that trainees are progressing in their learning experience. The contractor can also readily identify problems and resolve them rapidly.

At a minimum, monitoring should ensure that:

- the participant has arrived in a timely manner to the training site;
- the training program meets the requirements outlined in the Training Implementation Plan;
- the participant is regularly attending scheduled activities and/or sessions of the program;
- the participant is progressing adequately in the course of study; and
- no serious personal/health problems develop that will impair successful completion of the program.

For ICT technical programs, the implementing contractor(s)' field offices generally stay in regular contact with the training provider and can be alerted through that channel if problems arise. In addition, a personal call to the participant is highly recommended and is usually part of the monitoring procedure.

A monitoring site visit to an in-country training event may be conducted when appropriate. The implementing contractor can then evaluate the training provider and the provider's management of the training event. The implementing contractor will interview participants and meet with the providers.

For multi-Mission training events, the contractor located in the country of training is responsible for monitoring the program.

Activity 2 – Administer Exit Questionnaires and Event Assessment Reports

At the end of every in-country training event, the implementing contractor(s) administers an exit questionnaire. The exit questionnaire was developed to provide Missions with feedback on the quality of the training program and likely application of the knowledge, skills, and attitudes participants gained during their training.

The exit questionnaires are critical for the contractor(s)' self-evaluation of the implementation and management of the participant training program. The questionnaires also provide key data on the extent to which the participants feel the expectations of the program were met. For some particularly short-term ICT events of 3 days or less, the exit questionnaire would not be required. Such information can then be used to modify and improve ongoing or successive training cycles, especially follow-up activities.

For multi-Mission training events, the implementing contractor located in the country of training is responsible for ensuring exit questionnaires are completed by participants and forwarded, as appropriate, to the other field offices participating in the event.

Activity 3 – Enter Data into TraiNet

All E&E Missions are required to report via TraiNet all in-country training events scheduled for three consecutive days or 15 intermittent hours. Although in-country training events under the three-day or 15-hour cut-off are not required for

TraiNet reporting, the Bureau strongly advises that E&E Missions report all in-country training, particularly as in-country training events are increasing in the region and may demonstrate a critical development tool for the Missions. Use of TraiNet is an Agency-wide requirement specified under ADS 253. The implementing contractor(s) tabulates participant data using TraiNet on behalf of the Mission. TraiNet is the only database to be used for participant data reporting. Use of TraiNet is an Agency wide requirement specified under ADS 253.

The Office of Management and Budget (OMB) approved use of TraiNet in accordance with the Paperwork Reduction Act.

Chapter 6

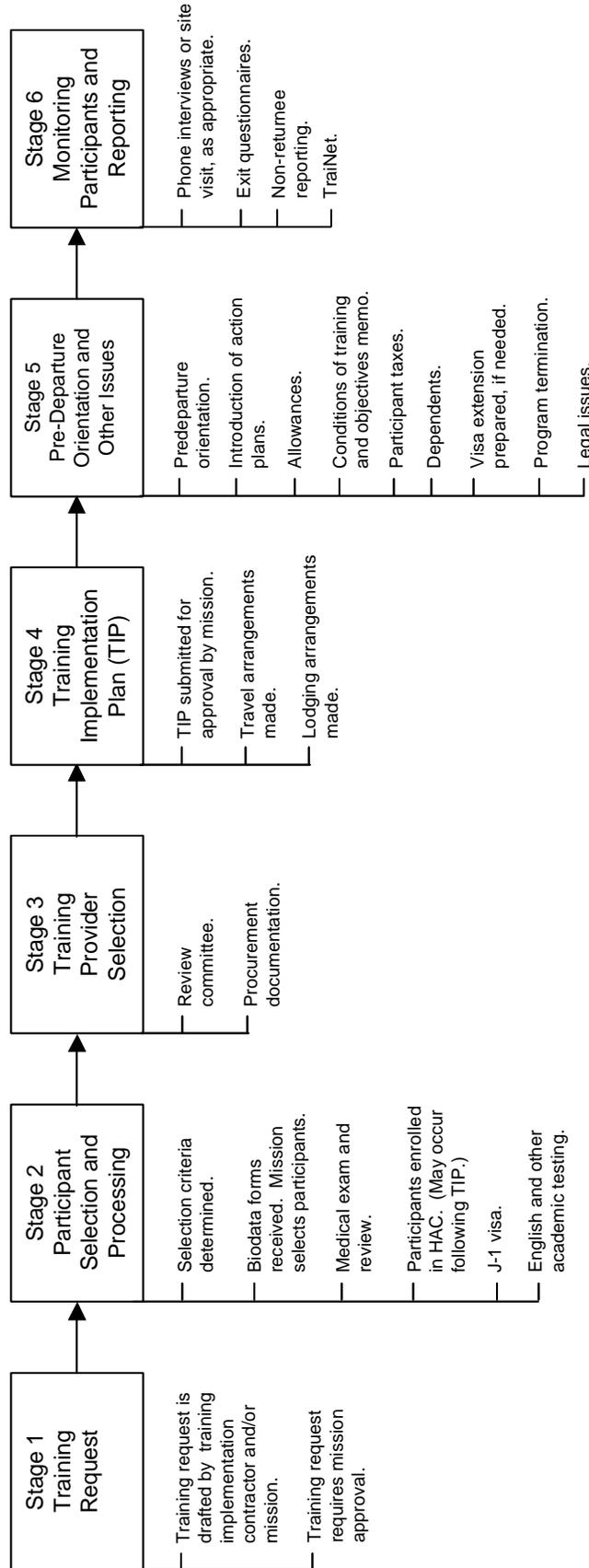
Preparation and Documentation for Academic Training

All training funded by USAID through its worldwide missions is managed by Agency Directive ADS 253. This chapter follows closely, and in many cases states directly, the contents of ADS 253. ADS 253 takes precedence over the contents of this handbook. The Bureau, Missions, and implementing contractor(s) are responsible for adhering to ADS 253.

Chapter six outlines and specifies the required preparation and documentation necessary to conduct academic training. Academic training may take place in the U.S., a third country or in-country. *Much of the guidance contained in this chapter concerns requirements for implementing U.S. academic training.* The reader will notice some repetition of policies that are discussed in Chapter 3, Preparation and Documentation for US-Based Training. While the chapter lays out the minimal procedural requirements for conducting academic training, individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the E&E Bureau (E&E/EEST) to ensure that they comply with Agency directives and the implementing contractor(s)' delivery orders.

This chapter includes not only Agency-wide requirements, but also requirements based on the implementing contractor(s)' task orders as developed by the E&E Bureau to address issues particular to Europe and Eurasia. The procedures must be followed to ensure execution of a quality training event in the most efficient, results-oriented, cost-effective manner possible. The flow chart on the following page illustrates the key required steps and activities for implementing academic training.

**IMPLEMENTING ACADEMIC TRAINING
REQUIRED STEPS AND ACTIVITIES***



* The sequence presented in the chart may not be exact for every training event. The steps are primarily representative of U.S. academic training.

STAGE 1 – The Training Request

Activity 1 – Drafting the Training Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed training requests. In either case, the implementing contractor(s) is required to enter all training requests through the Training Interventions On-line Library (TIOL), which is located on the USAID/E&E Regional Participant Training Website (www.eetraining.net).

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

For academic training, the Mission may request the implementing contractor to either 1) transfer funding to institutions of higher education for long-term academic degree or Agency “scholarship” training (as is done with AUBG and CEU which are third-country academic programs) or 2) provide a full range of academic training services. The exact range of services required will be made clear at the time of each specific academic training request and may include: establishing candidate recruitment; following through on placement recommendations made by an academic review committee; negotiating tuition waivers whenever possible; integrating trainee enrichment programs or short courses in leadership and management skills into the degree schedule; placement efforts for returnees; providing networking support, alumni directories and the like.

Appropriate **lead time** must be considered when requesting a training event. When a training request for academic training is ready to move forward, the minimum lead time for implementation of the event is three months. The lead time requirement is a fundamental element for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training and allows the Mission and implementing contractor to review the training implementation plan with care to ensure full preparation of the participants.

All academic training should be included in the Mission training plan.

Activity 2 – Mission Approval

All training requests must be approved by the Mission. Approval usually occurs when the Mission signs a hard copy of the training request. As they become part of the training plan, training requests are often reviewed and signed by several managers in the Mission which may include the SO Team leader, Program Officer, and Mission Director. When the highest-level approval is received, the training request is approved and the training implementation contractor may commit to or incur costs.

STAGE 2 – Participant Selection and Processing

Activity 1 – Selection Criteria Determined

The selection of participants is critical to achieving a successful outcome. Good selection results in a program with highly motivated participants who perform well, complete the training on time, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. Selection committees are most effective when they include Mission, host-country, and private sector officials who are all stakeholders in the training program.

Agency and Bureau guidelines have been developed to assist a selection committee in establishing selection criteria. The guidelines include the following:

- Participants should not be chosen based on any interests that go beyond the training program and the achievement of Strategic Objectives. Patronage should be avoided and selection criteria must be transparent.
- Eligible candidates must be citizens and residents of the host country. Persons holding citizenship or residency in other countries are not eligible except with a waiver approved by the Mission Director. U.S. citizens and U.S. permanent residents (e.g. green card holders) are not eligible for USAID-sponsored training unless it is deemed critical to achieving the Strategic Objective. The Mission must approve this exception.
- Candidates should have a clear understanding of the objectives of USAID-sponsored training and evidence a strong personal commitment to participate fully in the training event. Candidates must fully understand that they are obligated to return home after the training and should be completely aware of their responsibilities as participants. Inability to accept J-1 visa restrictions or refusal to take the required medical examination will preclude the participation of any candidate.
- Participants should possess sufficient academic or other skills/experience to meet prerequisites that enable them to complete the training successfully.
- Participants should have completed their military requirements or otherwise be exempt from conscription.

- Participants should not have been trained previously under a USAID-sponsored U.S. training event. However, repeat participants are allowable, and justification for selecting a repeat participant should be included in the nomination list (see below) that the Mission must approve.
- E&E Missions are to maintain a gender balance when selecting participants. The Agency has established an annual target of 50 percent women for U.S. training. Missions may receive assistance in meeting this target from the Global Bureau's Office of Women in Development (G/WID).
- Missions should attempt to include for training qualified persons with disabilities and members of disability-oriented organizations. The additional cost that may be incurred for a disabled participant is not a sufficient justification for precluding the participation of a qualified disabled participant. (Processing for disabled participants is the same as for other participants except that additional equipment or special accommodations may be needed. Missions must ensure that each disabled participant carries sufficient insurance to cover the disability. A disability is defined as a physical or cognitive impairment that affects a major life function.)

Activity 2 – Training Application Form

The implementing contractor(s) issues invitations to potential participants based on decisions from the Mission selection committee. Such participants are then required to complete a training application form and submit it to the implementing contractor. The form outlines the participant's biographical information, work experience, and the expectations for the training event. All training application forms must contain the following language near the applicant's signature line: Release of Participant Applicant Information: I understand that my name and contact information may be released by USAID to outside parties who are interested in the training that I may receive under USAID sponsorship. If contacted, I also understand that I am not required to cooperate with or provide information to such parties. The implementing contractor assembles the participant nomination list and submits it for required Mission approval. The Mission is solely responsible for selecting and approving participants.

Activity 3 – Medical Examination and Review

Medical examinations are required for all participants attending an E&E participant training program in the U.S. on a J-1 visa. There are no exceptions. To benefit fully from the training activity, the participant should be in good health. In addition, the participant should not worry about whether medical care will be available in case he/she does become ill. The pre-departure medical examination allows USAID to determine the participant's current physical state and is a requirement for obtaining full medical coverage during the training program. Every trainee entering the U.S. under USAID sponsorship is enrolled in USAID's Health and Accident Coverage (HAC).

Each participant must obtain a medical evaluation. Refusal to do so will immediately terminate an application for training. Potential participants are to receive the USAID Medical Examination Form, 1382-1. A copy of the form is included as Appendix 3. The form consists of three parts as outlined below:

- **Medical history completed by the applicant.** The first page of the Medical Examination form is to be completed by the applicant. Most questions relate to obvious physical or medical circumstances of which the applicant is likely to be aware. A few might be known only through previous medical care (such as high blood pressure). The applicant must understand the significance of the participant's signature as a certification of both the truthfulness of the responses to the best of the applicant's knowledge and of his/her understanding of the "Important Notice" on the first page.
- **Medical examination by a physician.** The examining physician records the results of the examination on the second page of the form, summarizes the findings, and makes a recommendation in regards to whether the applicant is medically qualified for training. As the examining physician may not be familiar with the participant training program and the specific purpose of the examination, the "Guide to Medical Fitness Standards for Applicants" (Appendix 4) must be provided to the examining physician. On the actual medical report page, the physician summarizes the findings and recommends whether the applicant is medically qualified for training. Applicants should arrange for their own examination, but Missions must ensure that local arrangements are designed to ensure the integrity of the examination process, avoiding superficial or pro forma examinations and fraudulent practices. Some USAID Missions or Embassies have lists of reputable medical providers. Recommendations should be solicited from these sources as well as from other contractors/grantees operating in the country.
- **Documentation of Mission determinations resulting from the examination.** The final page of the form provides for the documentation of Mission decisions resulting from the medical examination. Specifically, the USAID Mission training officer or designee ("designee" could be an FSN (Foreign Service National), PSC (Personal Services Contractor), or the implementing contractor) recommends approval or disapproval of the applicant for training (this is called the administrative review) and a designated Mission officer reviews and approves that determination. The reviewing officer may be the training officer, or signing authority may be delegated to an FSN or PSC.

The validity of the medical examination is four months. Participants who delay arrival in the U.S. by that length of time, or who, during their U.S. program, are absent from the U.S. for four months or longer, must take a medical re-examination and receive another medical certification.

Once a medical clearance has been processed and the individual deemed fit for training, the contractor's field office is responsible for sending written (e-mail, cable, or fax) confirmation to the contractor's Washington D.C. headquarters that a cleared medical form is on file in-country. The absolute latest it can be sent is five days before the participants arrive. The medical form itself does not have to be sent to the U.S. unless it is to be cleared in the U.S.

Waiver of Agency Requirements Regarding Pre-existing Conditions and HIV/AIDS

Pre-Existing Conditions: On occasion, a participant with a pre-existing condition is cleared for entry into the United States. Usually such clearance occurs when it has been determined that the medical condition is not likely to be activated or aggravated during the period of training and that the training for the particular individual is sufficiently important to warrant the risk. To grant an individual with a serious pre-existing condition access to USAID-sponsored training, the USAID Mission Director (or designee) must indicate on the medical examination form that a waiver is granted. By so doing, the officer is guaranteeing payment from project funds of medical claims arising from pre-existing conditions. In no case does the HAC program cover pre-existing conditions.

The Bureau recommends that Medical waivers be approved only by the Mission Director. The cost implications for the Mission could be significant should a participant incur medical costs from a pre-existing condition. Although the Bureau strongly recommends that waivers be granted only by the Mission Director, they may be granted by the following persons according to ADS 253 Mandatory Reference:

- for Mission-funded participants, by a Mission Director, designee, or CTO;
- for region-funded participants where there is no USAID Mission, by the regional Assistant Administrator or designee; and
- for Central office-funded participants, by the Office Director, that person's designee, the COTR, or any responsible official with sufficient knowledge of potential liability and authority to commit funds.

Executed medical waivers, including a copy of the medical examination (with English translation if in a foreign language), and a Mission's statement of the source of funds to cover waived claims must be forwarded to the Agency's HAC provider by the implementing contractor. Before executing a waiver of HAC coverage for medical claims arising from pre-existing conditions, USAID Missions must ensure that Mission funds are available to pay such contingent claims, other medical insurance is available to cover such claims, or that other third parties (e.g. the participant, family, or host government) are prepared to pay such claims. The Mission is responsible for arranging for the prompt payment of such claims if and when they arise. If the Mission itself pays such claims, payment does not diminish any rights the Missions may have to seek reimbursement from a third party.

HIV/AIDS Cases: Missions may request the conduct of an HIV test, the results of which must be included on the medical examination form. Should a participant

be found to have HIV/AIDS, the Mission Director must issue a waiver for the participant to attend the training program. A person known to be HIV-positive or to have AIDS must be identified to the U.S. Consular Officer, along with a justification as to why travel to the United States is in USAID's interest. The Consular Officer must cable the INS (Immigration and Naturalization Service) requesting approval for the person to enter the U.S., and cannot issue a J-1 visa without previous INS approval. A response normally takes ten working days.

If HIV/AIDS is determined to be a pre-existing condition, it will not be covered by HAC. However, if the participant has been in the U.S. more than 12 months and then incurs costs from HIV/AIDS, the diagnosis cannot be ruled as pre-existing.

Activity 4 – Participant Enrollment in Health and Accident Coverage (HAC)

Enrollment

All participants whose training in the United States is wholly or partially financed by USAID are to be enrolled in the Health and Accident coverage (HAC) program. Participants coming to the United States on an E&E training program may not depart from their home country without HAC insurance.

HAC covers the usual, customary, and reasonable charges for required medical services with minor required co-payments. It is essential that the participant be made aware of procedures to be used in obtaining medical care as any billing considered unreasonable will not be fully reimbursed. The HAC program exists to ensure that adequate medical coverage is provided for all USAID-financed participants.

HAC coverage begins at the time the participant leaves his/her home country and continues until the moment of return to the home country. HAC coverage applies to U.S. training and travel to and from the home country only. Agency HAC contracts do not cover any training that takes place outside the United States.

Participants are to be advised that USAID is not responsible for any medical claims in excess of coverage provided by the HAC program or for medical claims not eligible for coverage under the program.

Limitations and exclusions are listed in the HAC brochures, which may be requested from the HAC providers (see below). Expenses incurred by participants for such non-covered services are the responsibility of the Mission, host government, or participant. It is important to remember that the cost of treatment for conditions determined to be pre-existing, whether identified during the pre-departure examination or not, will not be borne by the HAC program.

Please also note that medical costs incurred as a result of automobile accidents should be paid by the primary automobile insurance provider. However, HAC will cover medical expenses incurred due to an automobile accident (whether the participant is driving or not) should they not be covered by a primary automobile insurance provider.

The implementing contractor obtains HAC insurance for U.S. participants directly from either of the two HAC providers: Hinchcliff or OASYS. Either HAC provider may be used by the training implementation contractor based on preferred cost, coverage, and level of service. The E&E Bureau has determined that HAC Plan B is to be used for all participants. Both HAC providers' provide coverage of 100 percent of Eligible Medical Expenses up to \$150,000. The basic medical deductible is \$10.00 per office visit, for which the participant is responsible.

The procedures for HAC enrollment were changed effective January 1, 1999. HAC information is now exchanged directly between the training contractor and HAC insurance providers. Procedures for enrolling in HAC are found on devIS's website at: www.devis.com/client_support/usaids/hac. devIS is USAID's support contractor for information on HAC. Enrollment may be completed electronically via email with both providers. Complete procedures for enrolling by email are also found on the devIS website.

All questions regarding coverage, billing, refunds/credits, and claim disputes should go directly to the HAC providers. If the provider is not providing adequate service, contact Ms. Linda Walker, USAID/G/HCD, by email at lwalker@usaids.gov.

Double Coverage by Educational Institutions or Others

Long-term participants in a USAID academic training program who are enrolled at an educational institution or other training site may also be covered by a mandatory health program sponsored by that institution, with the cost included in tuition or as a separate mandatory fee. USAID contractors may pay the cost of the double coverage, provided that the cost of such plan does not exceed that required of all other students or all other foreign students. Other coverage does not exempt USAID participants from the HAC Program, which is mandatory. Participants with double coverage are required to use the institution's insurance or health facilities to the maximum extent of coverage before employing the HAC program. The HAC contract administrator is required to ensure that claims submitted to HAC have first exhausted the coverage of the other plans. In the event the HAC program pays claims covered by such other plans, the HAC program will seek reimbursement from such plans pursuant to the Assignment and Subrogation Statement signed by the participant as part of the Conditions of Training.

Repatriation of Terminally Ill or Incapacitated Participants

Except as provided below, a USAID participant is repatriated to the country of origin whenever the participant is diagnosed as having a mental or physical disease or disorder that will unduly delay or prevent successful completion of the training program. This requirement may be waived only with the concurrent approval of G/HCD, the Mission Director, and the appropriate Central or Regional Bureau.

In cases of such diagnosis, HAC will cover medical costs only until the point of repatriation. If repatriation is delayed after diagnosis beyond the earliest time when repatriation is medically feasible, HAC coverage will terminate as of the date of initial feasibility.

Submission of Claims

The participant is ultimately responsible for ensuring that all claims for medical services are submitted to the HAC contract administrator. Pre-departure orientation meetings must clearly establish this responsibility as well as explain the normal procedure for health insurance in the United States. The medical provider will submit the claim to the HAC provider, minus the co-payment amount (\$10 per medical incident or illness) which in turn must be paid at the time medical services are rendered. HAC claim forms should be used; however, the universal claim form will be honored.

Each claim must include the participant's name, full identification number as it appears on the HAC identification card, signatures of the participant and the medical provider, a diagnosis, date of service, and the type of service provided. All claims must be submitted within six months of the date that service was provided.

Activity 5 – J-1 Visa

If a foreign national enters the United States as a sponsored student/trainee and receives any funding from the U.S. government, that national must enter on a J-1 visa. Regardless of the duration of stay, the type of training program, or participant status, E&E Missions and the implementing contractor(s) cannot determine or waive the conditions under which a J-1 visa is requested. J-1 visas are issued only for the projected duration of the training program.

Participants who already hold valid B-1/B-2 visitor visas must still obtain J-1 visas to attend a U.S. training event. After training and return to the home country, participants may travel again to the U.S. using their valid B-1/B-2 visas. The two-year residency requirement must be satisfied but need not be consecutive.

It is important to determine early in the process whether the participant has a passport. Obtaining a passport may be a lengthy process, and there may be no way to expedite processing within the host country.

The required form for establishing a participant's eligibility for J-1 visa status is the IAP 66A visa application. It is a controlled/numbered form which is provided to USAID contractors and grantees by:

United States Agency for International Development
Center for Human Capacity Development
ATTN: Ms. Linda Walker
3.09-083 Ronald Reagan Building
Washington, D.C. 20523-3901

The implementing contractor(s) and Missions are responsible for preparing in a timely fashion the IAP 66A form for each participant, including certification of medical eligibility, Health and Accident Coverage (HAC), and English proficiency. The implementing contractor who prepares for USAID signature IAP 66As for either the initial visa or visa extensions must complete such forms fully. IAP 66As

must be submitted to G/HCD a minimum of 60 days before the expiration date of the existing IAP 66A. The originating Mission or contractor must ensure that the visa end date (stamped in the participant passport at the U.S. Consulate) does not exceed the estimated completion date of record on the IAP 66A. Participants picked up from other visa sponsorship must not be currently out of status. All forms must be typed with no “white out” corrections; neither birth date nor training dates may be struck out and retyped.

A U.S. officer designated by the USAID Mission as Responsible Officer (RO) or the Alternate Responsible Officer (ARO) signs the IAP 66A. It is the mission’s responsibility to provide G/HCD with the position title of the U.S. citizen RO and ARO who, in addition to signing, are responsible for ensuring control of IAP 66A forms provided to the Mission. The Mission must notify G/HCD (attention Ms. Linda Walker) if there is a change in the RO or ARO signing authority. Such notification may be done via email to walker@usaid.gov. G/HCD requires a form to be completed and mailed for any new RO/ARO authorization. However, once an email is sent, the authorized officer may start signing immediately.

Exact procedures vary by region. In some E&E countries the Mission is responsible and for others the Mission has designated the implementing contractor’s country director as signatory. Again, the RO and ARO must be U.S. citizens. This responsibility may not be delegated to a local staff member who is not a U.S. citizen.

The distribution of the IAP 66A is as follows according to ADS 253 Mandatory Reference: white, yellow and pink copies of the IAP 66A are given to the participant for presentation to the Consular Office. The green copy is retained by the Mission with the blue copy is forwarded to G/HCD.

Because the IAP 66A is a controlled form, contractors are required to complete an IAP 66A Usage Report (AID 1384-1) and submit it on a regular basis to Ms. Linda Walker, G/HCD, at the above address. IAP 66A forms must be kept secure and under lock and key.

Multiple Entry Visas

Multiple entry visas may be obtained by long-term academic participants. If the participant is traveling outside the United States and returning during the program, the back of the pink copy of the IAP 66A must be signed by a designated Responsible or Alternate Responsible Officer at the sending mission or by G/HCD. A signature must be obtained for each period of travel outside the U.S. A participant cannot travel outside the U.S. and re-enter without USAID approval which is required on the IAP 66A pink copy. The contractor or participant then asks the U.S. Consular Officer for a multiple entry J-1 visa stamp when first applying for the visa.

The Bureau makes no provision for participant travel outside of the U.S. during E&E participant training programs. The Mission must decide to approve of such travel on a case by case basis. Often, such requests coincide with academic holiday vacations and are for the purpose of going home to visit family. The

Bureau cautions Missions to consider such requests carefully. The implementing contractor must monitor the departure and re-entry of the participant closely and ensure that the participant's successful completion of the program is not disrupted.

Duplicate IAP 66As

The contractor or Mission must prepare duplicate IAP 66As for all lost IAP 66A forms and for participants traveling outside the United States who do not have a valid J-1 visa stamp in their passport. Duplicate copies of IAP 66As must be provided if a new visa application is required when the J-1 visa stamped in the participant's passport has expired. In addition, a duplicate IAP 66A must be provided for dependents who travel separately from the participant.

A copy of Mission approval for travel must accompany any request to sign a duplicate IAP 66A. As part of the monitoring function, a participant must continue to have a valid visa if he/she did not receive an IAP 66A valid for the entire program, and must secure the necessary approvals to maintain a valid visa from G/HCD.

Two-Year Residency Requirement

The J-1 visa carries with it a two-year residency requirement. The Mission or implementing contractor is required to notify participants that they may not apply for an immigrant visa or an H or L nonimmigrant visa until they have completed two years of post-training residency in their home country. Training candidates must be notified of this fact before they accept USAID sponsorship. Note that marriage to a U.S. citizen does not exempt a participant from the two-year home-country residency requirement. Participants may, however, apply for and use visitor visas or B visas during the two-year period referenced above.

The Conditions of Training form that must be signed by the participant (see appendix 8) states that he or she is NOT to seek or accept a new training program until they have returned home and completed their two-year residency requirement. The exception to this would be a follow-on program sponsored by USAID or sanctioned by USAID. In these exceptional cases, participants are permitted to apply for (from their home country) and receive a second J-1 visa for USAID training or training sponsored by another donor. If the sponsor is not USAID, donor coordination is necessary and USAID should issue a "no objections" statement to the Consulate. Issuing a second J-1 visa within the original two-year residency period does not cancel the original two-year residency requirement. The required 24-month residency need not be consecutive, but it must be completed for each J-1 visa issued.

Only the State Department, in consultation with G/HCD, is authorized to review and grant waivers of the two-year residency requirement. In case of a review, G/HCD often requires program information from the monitoring contractor and/or sponsoring unit.

Employment Restrictions

Long-term academic participants who hold J-1 visas are not allowed to be employed in the United States except in connection with an assistantship, on-the-job training, or practical training experience that is an integral part of the training program. Such employment is limited to 18 months and must be authorized by the sponsoring unit. When a salary or stipend is paid, the maintenance allowance is reduced by the net amount of salary or stipend, unless specifically adjusted by the Mission.

Exceptions may be approved by the Mission in accordance with the regulations of the INS. With an approved exception, participants may accept part-time employment (not to exceed 20 hours a week) if all the following conditions are met:

- employment is required by an urgent financial need that has arisen since the participant arrived. Financial need associated with dependents in the U.S. is not sufficient justification for employment;
- employment does not cause the participant to reduce preparation and studies below the full-time level; and
- written approval is provided by the participant's sponsoring unit.

If a participant's program is affected by the employment, the contractor should notify the sponsoring unit immediately and take steps to have the participant discontinue employment.

Transfer of Visa Sponsorship

Transfer of J-1 visa sponsorship from USAID to another program (such as a university program) is not permitted except when USAID was erroneously listed as the sponsor. Only G/HCD has the authority to make such a transfer.

Activity 6 – Language and Academic Testing Requirements

USAID requires individuals attending training programs in the United States to demonstrate certain levels of language proficiency before enrolling in academic programs taught in English. The Agency has observed that people with marginal language capabilities not only fail to gain from participating in the training programs, but also suffer from stress associated with an inability to communicate.

USAID uses the ALIGU EPT to prescreen academic participants (who may also have to take the generally required TOEFL test administered by the Educational Testing Service) and to test participants who will be involved in extensive research and writing.

The test can be administered in the host country, but the number of persons authorized to administer the tests is controlled. It is not sufficient to speak with a person and make a judgment concerning language ability. A standardized test is required. Given that most of E&E training is of short duration and technical, the CEPA is most often used because it is more appropriate and easier to administer; however, the ALI/GU EPT is also acceptable.

Participants must have the following minimum ALI/GU EPT o scores to qualify for U.S. training:

	Listening	Grammar	Reading and Vocabulary
EPT	85	75	80

Waiver of language verification requirement.

In exceptional cases, the appropriate USAID official may grant a waiver or exemption of the language verification requirement. Please note that once the examination is given it cannot be waived.

Participants require no testing and are presumed competent in English if their secondary and post-secondary education was conducted in English or if within the five years preceding the proposed training, they completed an academic degree taught in English in the U.S., UK, Ireland, Canada, Australia, or New Zealand. The designee of the COTR makes such a determination on a case-by-case basis.

Academic Testing Requirements

A variety of tests are required for entrance into most U.S. institutions of higher learning. The following provides a brief description of these tests.

The Scholastic Aptitude Test (SAT): For undergraduate admission, many schools require the SAT. All questions are multiple choice and it is scored by computer. There are six sections: two verbal, two mathematical, test of standard written English, and a section of equating questions.

The American College Testing Assessment (ACT): Another type of exam that may be required for undergraduate admission by some U.S. colleges and universities. There is a general test and a subject test. The subject test is not often required.

The Graduate Record Examination (GRE): The GRE is used by graduate programs in colleges and universities. The GRE is designed to measure verbal, quantitative and analytical ability.

The Graduate Management Admission Test (GMAT): The GMAT is a measure of verbal and mathematical skills of students applying to graduate programs of business. It is required for admission to most graduate business programs.

STAGE 3 – Training Provider Selection

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

Activity 1 – Review Committee

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

The implementing contractor(s) must take into account several factors when reviewing information. Among them are the following:

- For long-term academic training in both the CEE and NIS regions, standard tuition caps in ADS 253 (a 5 percent inflation factor may be added each year beginning with the 1998-1999 academic year) apply: Undergraduate — \$11,000 standard academic year (tuition and fees); Graduate — \$12,600 standard academic year (tuition and fees). The Mission Director or designee is authorized to waive tuition caps in individual instances, with written justification specifying why the cap is not in the cost-benefit interest of the Mission. Requesting in-state tuition when using state institutions is advisable.
- Topics of program designed to meet specific needs of participants.
- MSIs (Minority Serving Institutions). In accordance with Presidential executive orders and official memoranda from the Assistant Administrator for the E&E Bureau, E&E Missions are mandated to endeavor to maintain a strong level of interaction and partnerships with Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Institutions. The established E&E Bureau target of MSI participation is 10%. As training providers, MSIs offer a wide range of expertise that may greatly enhance E&E training programs. To assist the Missions in this effort, the Bureau has established a Minority Serving Institutions and Small and Disadvantaged Business Committee. The contact person for the committee is Ms. Del Davis. She may be reached by email at odavis@usaid.gov. Please see Appendix 5 for a list of Minority Serving Institutions.

Activity 2 – Procurement Documentation

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

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

STAGE 4 – Training Implementation Plan (TIP)

Activity 1 – Prepare and Submit TIP

The Training Implementation Plan is a document prepared by the implementing contractor(s) that holds in one place all the critical information of the U.S. training event, including the travel schedule, training itinerary, and budget.

Required elements of a TIP include the following:

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

The TIP must be approved and signed by the Mission. Should any training costs, in the course of execution, exceed by 10 percent what is indicated on the TIP, the contractor must secure Mission approval. For multi-Mission events a TIP must be executed for each participating Mission.

Once the TIP is signed, a copy without budget information is given to each participant. Appendix 6 provides a sample TIP.

Activity 2 – Arrange for Travel

Agency policy requires that the host country or other non-USAID funding source(s) pay the cost of round-trip international travel and home country travel to and from the point of departure, including incidental costs. However, a standard waiver to the policy may be included in the Mission's Training Order.

If USAID does finance the travel, certain rules apply as outlined below:

- All USAID-funded travel must be on U.S. flag carriers unless such carriers do not operate from a host country, in which case participants are to be transferred to a U.S. flag carrier at the first practical exchange point. Entry to and exit from the United States MUST be on US flag carriers. Because the "Fly America" regulation is not a USAID regulation, but a U.S. legislative requirement, USAID may not waive it. Failure to use U.S. carriers for paid transportation may result in the contractor/grantee having to pay for the air travel. If the U.S. government is not paying for air travel, there are no prohibitions regarding air carriers.
- All participants are limited to economy-class travel.

- If travel costs are shared, the US financed portion of an international trip must be arranged in accordance with USAID rules governing international travel.
- Participants are allowed up to 22 pounds of excess accompanying baggage at the beginning and end of the training program (provided that the total weight does not exceed 140 pounds). Air freight shipments cannot be made in lieu of the accompanying excess baggage allowance. U.S. air carriers generally limit baggage on domestic flights to two checked items of 70 pounds each and one carry-on item per passenger. USAID will not provide allowances for any excess.
- Participants are allowed layovers on scheduled flights in excess of 14 hours.
- Costs of anticipated and necessary intra-city or local travel are to be included in the participant's maintenance allowance.

Activity 3 – Arrange for Lodging

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

STAGE 5 – Pre-departure Orientation

Activity 1 – Orientation Arranged by Implementing Contractor

The implementing contractor is required to provide a pre-departure orientation for participants of U.S. training events. The orientation outlines the travel schedule, the goals of the program, administrative details, and American culture and practices. Individuals who do not attend some orientation before leaving their country evidence less satisfaction with their training because of higher levels of stress dealing with unfamiliar situations without preparation. Thus an orientation is an integral part of the training program.

The orientation should include the following:

- introduction of action plans;
- logistical information;
- review of the content of the training activity;
- review and signing of the Conditions of Training and Objectives Memo;
- information regarding U.S. social customs;
- information on expenses;
- explanation of insurance;
- explanation of J-1 visa requirements; and
- emergency contact information.

Activity 2 – Action Plans

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

Activity 3 – Objectives Memo and Conditions of Training Form

Objectives Memo

Each participant must sign an Objectives Memo that outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and objectives. Participants must feel that they are committed to doing their part in attaining the best results from the training event. Missions may use the sample Objectives Memo provided in this handbook. (See Appendix 7.) The objectives memo may be used in lieu of the stakeholder agreement.

The Conditions of Training Form

The implementing contractor(s) must ensure that the Conditions of Training form (USAID Form 1381-6) is explained and signed by each participant for U.S. academic training and Mission. The Conditions of Training Form may be presented with the Objectives Memo as part of one package.

The Conditions of the Training form specifies the following:

- compliance with J-1 visa requirements to return home immediately upon program completion;
- limitation of HAC insurance;
- reasons for termination of program;
- prohibitions against purchasing or driving an automobile while in the U.S. without contractor concurrence; and
- prohibitions against bringing a spouse or other dependent to the U.S. during the period of sponsored training without prior approval from the Mission and without making arrangements with the contractor for appropriate visa, health insurance, and dependent support.

The Conditions of Training form provides the participant with the basic rules that he/she must follow while in training (e.g., abiding by U.S. laws). The form is a "contract" between the Agency for International Development and the trainee. Because it covers most of the critical USAID rules and regulations relating to sponsored training, the Conditions of Training form is also a useful review of requirements for contractors who are new to training.

The trainee should be provided with a copy of the form and asked to read it carefully before signing and accepting the sponsored training. All contractors

should be aware of the contents and be prepared to answer questions regarding the rules and regulations. Most of the answers are contained in this Handbook. Trainees should be provided with a signed copy of the Conditions of Training form for their own records and be advised to review it from time to time. It is both appropriate and recommended that the project officer sign the form before delivering it to the trainee to sign. The major function of the form is to communicate in the strongest manner possible USAID requirements to trainees.

See Appendix 8 for a copy of the Conditions of Training form.

Activity 4 – Predeparture and Maintenance Allowances

Predeparture Allowances

Contractors are asked to ensure that the trainees have some travel funds readily converted to cash, such as traveler's checks, to suffice for the first day or two upon arrival. The funds will give the participants time to receive and cash their allowance checks.

Because of different circumstances in each country, the contractor/grantee will need to make whatever arrangements are necessary for ensuring the availability of currency. If U.S. currency is available, the implementing contractor(s) will be expected to provide an advance maintenance allowance in cash.

Whether or not funds are available, arrangements need to be made so that the participants have access to funds as soon as they arrive in the U.S. If the implementing contractor(s) meets the trainees, the first order of business should be to process and cash allowance checks, converting much of the money into traveler's checks. If another organization is meeting the trainee, the purchase of money orders to be delivered on arrival will help get the program off to a good start.

Maintenance Allowances

USAID relies on a prescribed payment structure for participant allowances for all sponsored programs. The rates undergo a review and update (as needed) every year. Given that each contract or grant includes a clause that the recipient of funds agrees to follow Agency training policies, contractor(s) must obtain the most recent allowance rates when structuring a program.

USAID-sponsored participants must receive the allowance rate prescribed by the Agency below, unless the CTO gives authorization for a higher rate.

Long-term Training. For participants of long-term training occurring in academic settings lasting nine months or longer, whether for an academic degree or technical certificate of completion. Rates are calculated and maintained by the Institute of International Education (IIE), and may be found on IIE's website: www.iie.org/fulbright/posts/restrict/mmr/index/html.

USAID uses all various rates listed by IIE, when appropriate, except for the following:

- partial grant allowances that supplement support from other sources;
- required field trips at up to \$500 per trip;
- post-summer program allowance at \$50 per day; and
- thesis research allowance for second travel grants.

The following costs are eligible for expense reimbursement when appropriate:

- research projects;
- computer purchase/rental;
- tutors;
- typing expenses;
- excess thesis expenses;
- book purchases in excess of established rate;
- book shipments;
- professional society memberships; and
- student memberships.

USAID rates in addition to the IIE list are as follows:

- books and supplies at \$750 per academic year and \$200 per summer;
- supplementary book allowances at up to \$250 per year;
- supplementary supplies and computer time at up to \$1,000 per year;
- international travel – round trip (from home to pre-academic program to academic institution and return) unless provided by another funding source as cost-sharing;
- settling-in allowance at \$350 one time (may be adjusted by Mission);
- monthly maintenance as published for IIE;
- return baggage allowance at \$300;
- thesis allowance at \$300 for MA. and \$600 for Ph.D.;
- incidental allowance at \$10 per day;
- typing (discretionary);
- book shipment (discretionary);
- professional societies (discretionary); and
- student memberships (discretionary);

Activity 5 – Participant Taxes

Federal Tax Law stipulates that all J-1 visa holders receiving US funding must file U.S. Tax returns (including state and local, as required by local law) regardless of actual tax liability. USAID holds its contractors, grantees, and cooperative partners and their participants responsible for all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations.

The implementing contractor(s) must assign each participant to the appropriate tax category as far in advance of the nomination process as possible and then budget for income taxes accordingly.

Pure Scholarship-Fellowship Academics (Category 1). Category 1 participants generally have a foreseeable federal tax liability. They are enrolled in an accredited degree-granting U.S. academic institution and are either studying toward a degree or receiving training in a recognized occupation. These participants did not leave a permanent job in their home country; left a permanent job to obtain training for another job in a different field; or have a promise of a job upon completion of USAID-funded training, with training required for that job.

Short-Term Job-Related Trainees (Category 2). Category 2 participants generally have no foreseeable federal tax liability. They are in training related to their home country employment. Such training is conducted at U.S. academic institutions or at private and/or public sector training facilities. The duration of their job-related training is 12 months or less. Category 2 participants may rely on 26 CFR 1.162-2 to document their away-from-home status. Category 2 trainees pass all three parts of the "Claimed abode test", which permits IRC Section 162(a) deductions for away-from-home expenses incurred during training assignments not to exceed one year. Category 2 participants have no foreseeable federal tax liability because business-related expenditures and personal maintenance expenditures are allowed as itemized deductions.

Long-Term Job-Related Trainees (Category 3). Category 3 participants generally have a foreseeable federal tax liability. These participants are in training related to their home-country employment, conducted at US academic institutions or at private and/or public sector training facilities. The duration of the job related training is 12 months or more and is: (a) required by the home country employer for the participant to keep his/her present job; or (b) for the purpose of maintaining/improving skills for the present job. Category 3 participants generally have a foreseeable federal tax liability because only the qualified tuition and job-related expenditures are allowed as exclusions or itemized deductions.

Non-Scholarship, Non Job-Related Trainees (Category 4). Category 4 participants generally have a foreseeable federal tax liability. They are not studying for a degree and do not meet any criteria for job-related status. As a practical matter, they are generally high school students or 4-H trainees. Generally, all of their support is taxable.

Tax Treaty Country Trainees (Category 5). Category 5 participants generally have no foreseeable federal tax liability. Contractors must refer for details to IRS Publication 901: U.S. Tax Treaties. These participants come from countries with which the United States has a ratified tax treaty and therefore may be exempt from payment of some or all taxes, but they must file an informational return in order to claim the exemption. Treaties do not always apply to students, trainees, teachers, or researchers. Thus contractors, Missions, and Bureaus must read treaties and specifically identify the article or section that applies to their participants.

Sometimes a Category 5 trainee has a foreseeable federal tax liability. This can occur if the participant's program exceeds the time limits on length of residency

imposed by the treaty or the dollar limits imposed by the treaty on income imposed.

Romania and Slovak Republic in the CEE region currently have tax treaties in force. In the NIS region, tax treaties are in force for Kazakhstan, Kyrgyzstan, and the Russian Federation, and the Commonwealth of Independent States which includes Armenia, Azerbaijan, Belarus, Georgia, Moldova, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan.

Contractors/grantees arranging training for E&E participants are responsible for familiarizing participants with current IRS regulations upon their arrival in the United States. Each participant is required to obtain a tax identification number by filing INS Form W-7 and accompanying documentation with the INS. The training implementation contractor(s) can provide minimal advice on what procedures need to be followed. It is possible that some arrangements may be made with the implementing contractor(s) to handle much of the tax documentation; however, implementing contractor may not be held responsible for any errors or omissions relating to tax filing or payment. This responsibility may not be delegated by the organization paying the participant costs or by the participant him/herself. The tax orientation should include the signing of a W4 Form and, if appropriate, a Tax Treaty Exclusion Statement. Becoming familiar with IRS requirements, procedures, and responsibilities relating to U.S. income tax and filing is the responsibility of the organization making payments to the participant.

Among other things, a Statement of Expenditures detailing training-related expenditures paid from U.S. sources on behalf of the participant must accompany each income tax filing on behalf of participants.

Since it is USAID policy to pay participant income taxes on the income resulting from the official training program, project officers and contractors must budget for participant taxes in those cases where taxes are liable to be due. If withholding and/or tax payment is necessary, a line item in the budget must be created from which taxes can be taken. Maintenance cannot be the source for withheld taxes. Since IRS documents and laws change from year to year, contractors are encouraged to remain current with IRS regulations regarding trainees.

Exclusions

Any fines, fees, or interest levied against a contractor/grantee by the IRS for not following IRS regulations regarding filing, reporting, and so forth cannot be paid from USAID funds. In addition, all fines, late fees, and interest imposed on an Agency-funded participant due to negligence of the contractor/grantee or participant will be paid for by the contractor/grantee or participant from other than USAID funds.

USAID will not provide funding for participant income taxes in the following cases:

- USAID will not fund any tax, penalties, or interest associated with its contractors', grantees', or cooperative partners' failure to comply with federal, state, and/or local statutes and regulations governing the timely reporting, withholding, and/or payment of withholding tax on amounts of participants' U.S. source income.
- USAID will not fund any tax, penalties, or interest for that period of time when participant trainees are in non-returnee status.
- USAID will not fund any tax, penalties, or interest on any sponsored trainees income received from sources outside the United States.
- USAID will not fund any tax, penalties, or interest on any sponsored trainees income received from non-USAID sources, except as allowed pursuant to required assistantships, required paid internships, and required on-the-job training.
- USAID will not fund any tax, penalties, or interest for participants who return to the U.S. after completion of their USAID-sponsored training and incur retroactive tax liabilities for the time spent under USAID sponsorship.

Activity 6 – Other Issues That May Arise

Dependents

The E&E Bureau makes no provision allowing dependents to accompany participants. However, in the case of longer-term academic training, the Mission and contractor may consider whether the separation would be a hardship. The Conditions of Training form states that dependents are not to accompany a participant until a full academic term or six months, whichever is longer, has elapsed.

Missions should establish a policy on dependent travel. Missions should remember that USAID has no obligation to pay for accompanying family members of a J-1 participant. Support of J-2 dependents is the sole responsibility of the J-1 participant. To approve or disapprove the travel of a dependent, the Mission officer uses the Dependent Certification form. (Please see Appendix 9 for a copy of the form.) The form is not sent to G/HCD but can remain in the Mission field office.

In determining total expenditure estimates for the Dependent Certification, consideration must be given to the total number of dependents and the expected length of stay in the country of training. Adequate financial expenditure estimates are based on the cost of living in the area where the participant is located. A general rule is that 50 percent of the monthly maintenance for the area is required for each accompanying dependent.

The dependents' health insurance coverage must be arranged, and be reimbursed by the participant, to ensure that the insurance is not canceled and is renewed as necessary. It is the responsibility of the participant to ensure that return tickets for dependents do not expire (are kept updated with the issuing airline).

The contractor must clearly inform the participant in writing that employment for purposes of supporting dependents will not be approved.

Visa Extensions

Training programs may be extended only if there is a clear and compelling justification for continued training. ADS 253 Mandatory reference states that extensions may be requested, but never beyond the duration of the training program. A complete IAP 66A form and a brief letter to G/HCD for a J-1 visa extension request should include the following:

- contract, grant, loan number, or other agreement identification symbols;
- names of dependents, if any, in the United States; and
- any supporting documentation for the extension (e.g., copy of the training request extension) and proof of Mission and host government approval of the requested extension.

The request for an extension is reviewed and the IAP 66A signed by G/HCD. The signed IAP 66A form is then returned to the requesting office and provided to the participant.

It is important to note that under no circumstances may an IAP 66A be requested for longer than the actual period of training. Any personal reason under which the participant remains in the U.S. on a J-1 visa after the training program concludes – such as vacation or visitation of family and friends – is a violation of federal J-1 guidelines and ADS 253. Participants are also ineligible for HAC benefits beyond the duration of training. A participant on a J-1 visa must return home after training. These regulations cannot be waived by the Mission. Any period of vacation or non-training-related time spent in the U.S. must occur before training and must take place under the appropriate visa.

Program Termination

Early termination may occur as a result of the following:

- failure in the academic program;
- change in course of study without approval;
- failure to carry a full course load or laboratory schedule as prescribed by the academic or training institution;
- failure to pursue the practical training component of the program;
- health problems that materially interfere with the training program;
- conduct contrary to the laws of the country of training;
- bringing dependents to the country of training without prior approval;
- employment in the United States or country of training without prior USAID approval;
- acceptance of public welfare funds;
- failure to abide by the commitments in the Conditions of Training form or to comply with other requirements specified in ADS 253 or the E&E Training Handbook; or

- dependent accompaniment without prior approval or lack of insurance for dependents while in the United States.

The implementing contractor(s) must immediately notify the CTO and Mission should an incident occur that may cause the early termination of the participant's involvement in the program.

When the program of a USAID-sponsored participant is threatened to be terminated due to his/her poor performance, misconduct or unlawful conduct in the United States, the contractor is to inform G/HCD, the CTO, and the USAID Mission of the problem(s) involving the participant. Together, these entities will determine the program termination. The implementing contractor will be responsible for making the arrangements for the return of the participant and will keep the Mission informed of arrival. In cases of early program termination involving sensitive personal information that could negatively affect the participant's future, the use of official Department of State/USAID communications facilities and the classification "Sensitive but Unclassified" should be considered.

Participant Legal Issues

In case of arrest, the implementing contractor must notify G/HCD and E&E/EEST immediately and in writing regardless of the circumstances. Neither USAID nor the trainee's monitoring agent may aid or abet the participant's departure from the United States before the date of trial. If a participant must remain past the projected return date for reasons related to arrest and trial, financial arrangements must be put in place to provide appropriate accommodations until the participant's trial is over and a final legal determination is rendered by the court.

Any legal fees incurred by or on behalf of individual participants while in the status of a USAID-sponsored trainee are not allowable costs for USAID payment or reimbursement unless USAID initiated a request for such legal counsel and fees.

STAGE 6 – Monitoring Participants and Reporting

Activity 1 – Contractor Conducts Monitoring

Monitoring of E&E training participants is specified by the Bureau's scope of work for the training implementation contractor(s). By maintaining regular contact with participants in training, the contractor(s) can ensure that trainees are progressing in their learning experience. The contractor can also readily identify problems and resolve them rapidly. Regular contact with the participants also contributes to participants' sense of security.

At a minimum, monitoring should ensure that:

- the participant has arrived and settled into appropriate living quarters;
- the training program meets the requirements outlined in the Training Implementation Plan;

- the participant is enrolled in a full course of study if in an academic program or is regularly attending scheduled activities and/or sessions if in a technical program;
- the participant is progressing adequately in the course of study;
- no serious personal/health problems develop that will prevent successful completion of the program;
- participants' J-1 visas are valid through the duration of the training (if not, the contractor/grantee must secure the necessary approvals from G/HCD); and
- departure arrangements are made upon completion or termination of the program and the appropriate USAID Mission is informed of the arrangements.

Progress in academic and long-term technical (over five months) programs must be documented on the [Academic Enrollment and Term Report \(AETR\)-\(AID 1380 - 69\)](#) at the end of each term. The form can also be used for programs of less than five months given by a training institute with a formal structure. The implementing contractor is responsible for obtaining the report from academic institutions and providing it to the Mission. (See Appendix 10 for a copy of the form.)

Counseling is the responsibility of the implementing contractor who arranged the academic training program. If there is a problem of sufficient seriousness to jeopardize program objectives or violates USAID policy, the Mission and Bureau must be advised of the problem.

Activity 2 – Administer Exit Questionnaires and Event Assessment Reports

At the end of every U.S. training program, the implementing contractor(s) is required to administer an exit questionnaire to each trainee. The exit questionnaire is designed to provide Missions with feedback on the quality of the training program and the likely application of the knowledge, skills, and attitudes gained by participants during their training.

The exit questionnaires are critical for the contractor(s)' self-evaluation of their implementation and management of the participant training event. The questionnaires also provide key data on the extent to which the participants feel that the objectives laid out in the planning phase of the program were achieved. Such information can then be used to modify and improve ongoing or successive training cycles, especially follow-up activities.

Activity 3 – Non-returnees

A trainee becomes a non-returnee upon failure to comply with the return date agreed to by all parties. This date may be the date determined for the participant to return to work; the date of departure from the U.S. on the IAP 66A, allowing for travel time home; or the agreed-to date of a formal meeting between the returnee and the USAID Mission or in-country contractor. While a rare occurrence, non-returnees still represent a serious, constant issue.

The implementing contractor(s) must track participants for timely return to their professional setting in their home countries. The Mission or implementing contractor must provide a Non-Returnee Report to the E&E/EEST and to G/HCD as soon as a participant is classified as a non-returnee. Preliminary communication regarding the status of the participant is immediately sent via email. For those participants who are determined to be still in the United States, G/HCD will advise the INS regarding non-returnee status.

Efforts at reducing the non-returnee rate must be constant and should focus on event planning and design, participant selection, and progress monitoring as well as on tracking participants' post-training whereabouts.

Activity 4 – TraiNet

All E&E Missions are required to report all academic training events via the Agency-mandated database called TraiNet. The implementing contractor(s) tabulates participant data using TraiNet on behalf of the Mission. TraiNet is the only database to be used for participant data reporting. Use of TraiNet is an Agency wide requirement specified under ADS 253.

The Office of Management and Budget (OMB) approved use of TraiNet in accordance with the Paperwork Reduction Act.

Chapter 7

Preparation and Documentation for Training-Related Small Grants

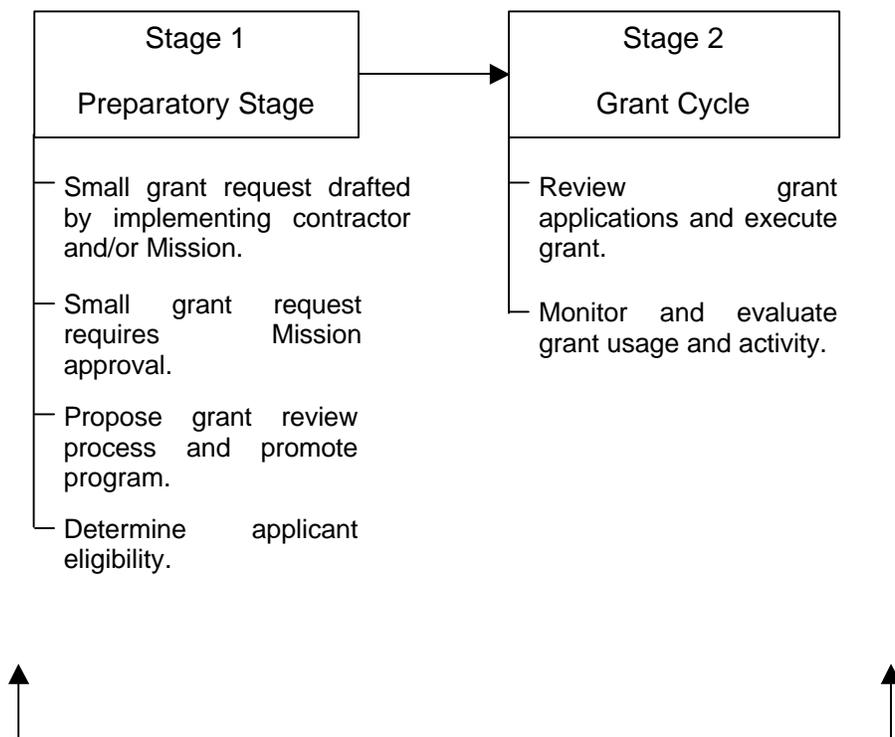
All training-related grants funded by E&E Missions under the E&E Regional Participant Training Program are executed with specific HCA approval in accordance with ADS 302.5.6, and in accordance with established E&E Bureau policy and procedures for administering small grants.

The small grants program is designed as in-country follow-on support to participants who have returned to their place of employment after receiving USAID E&E participant training. Specifically, the grants will support the application of newly acquired knowledge, skills and attitudes within the participant's organization; support continuing education; facilitate reintegration back into the working organization; enable professional networking; and disseminate newly acquired information to colleagues. The small grants program objective is to buttress and facilitate the goals and action plans that participants outlined before and during their training program.

Some examples of possible uses of small grants include developing manuals, organizing conferences/training sessions for peers, attending conferences, software or internet access, or professional consulting services, and/or the purchase of training-related commodities. Please note that it is E&E policy that small grants are for in-country activities only.

In response to Mission requests, the implementing contractor(s) will execute the small grants program on behalf of USAID in accordance with the procedures in this chapter. The chapter outlines the minimal procedural requirements for administering training-related small grants. Individual Missions may specify additional procedural requirements as deemed necessary. Any additional requirements should be reviewed by the E&E Bureau (E&E/EEST) to ensure that such requirements comply with Agency directives, Bureau policies and the implementing contractor(s)' task order.

IMPLEMENTING TRAINING-RELATED SMALL GRANTS REQUIRED STEPS AND ACTIVITIES



STAGE 1 – Preparatory Stage

Activity 1 – Draft Small Grant Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft small grant requests on behalf of the Mission, in accordance with Mission input and with Mission support. Grants to be supported with FY 2001 funds, and/or future FY funding, must be included in the Mission's training plan (which is entered into the TIOL system) and be in support of a specific Mission SO/IR and training activity or set of activities. The training plan should clearly set forth the relationship between a proposed training activity and/or set of activities and the award of future training-related grants.

In the instance where a Mission wants to fund grants that are associated with USAID training that occurred prior to FY 2001 (i.e., between June 1, 1997 and September 30, 2000) Missions must at a minimum note the SO area that is being supported and include reference to the associated grants under that respective SO in their Mission training plan.

A grant request will include much of the same information as required in a training request. Key elements include how the small grants will support the achievement of the SO that is targeted in the training plan and the participants' action plans, a budget of costs, and recipients to be targeted.

Activity 2 – Mission Approval

All grant requests must be approved by the Mission. As they become part of the Training Plan, grant concepts and requests may be prepared and approved on TIOL.

Activity 3 – Propose Grant Review Process and Promote Program

When a grant request is ready to move forward, a time frame for soliciting applications and reviewing the grants will be proposed by the implementing contractor and reviewed and approved by the USAID Mission. The implementing contractor will recommend the number and composition of reviewers of the applications and create a proposal review worksheet.

The implementing contractor will promote the small grants program by issuing program invitations and application kits to potential recipients. Review and approval from USAID for program promotion is required.

Activity 4 – Applicant Eligibility

Certain minimum criteria must be met when determining the eligibility of a grant recipient. Grants are to be awarded if the following conditions are met:

- Grants are only for organization or work units, not individuals. However, USAID may make a provision to award a grant to an individual provided that the organization or work units authorize the application;
- The organization benefited from USAID training which took place not earlier than June 1997;
- The organization's participants attended programs of at least three days duration;
- The organization has not previously been awarded a training-related grant; and
- The grant must be in support of the same SO as outlined in the training event request and part of the Mission's training plan.
- Grants are only for in-country activities.

Grants should not be used for:

- Sending people to training programs or to fund follow-up training activities that would otherwise be implemented under PTP;
- Any activities in the U.S. or third-countries;
- Funding religious activities;
- Activities that exceed 1 year to implement; and
- Activities that exceed a reasonable cost.

STAGE 2 – Grant Cycle

Activity 1 – Review of Applications

Small grant awards are made based on an application process. Grant applications may be accepted year-round on a "rolling-admission" basis.

The participant must complete an application that includes the application form (see Appendix 11), a budget, an updated action plan, a timeline with projected dates for the entire implementation of the activity, and any additional documents to describe what the grant will fund.

The implementing contractor will ensure that each application is complete and will conduct a "responsibility determination" on each application before forwarding the applications to the review committee. The "responsibility determination" includes answering questions such as:

- how well does the field office know the individual/organization;
- what information is available that shows the individual/organization will comply with award criteria and be accountable; and
- has the organization ever managed funds from another donor?

USAID Mission staff participates with and chairs the review committee. The USAID Mission makes the final determination on the grant recipients. The implementing contractor will notify all applicants of the final decision regarding the success or failure of their application. Execution of the grant agreement will

be completed and the funds will be disbursed by the implementing contractor on behalf of USAID.

Activity 2 – Monitoring and Evaluation

If a grant is approved, the implementing contractor will work to ensure proper use of funds and that the grant awardee adheres to all terms of the grant application/agreement and reporting requirements.

At the award stage, the implementing contractor will specify monitoring visits and submission of financial reports as required.

The implementing contractor will receive all financial and narrative grant reports that will be required of the awardee. Site visits will be conducted by implementing contractor staff as appropriate. If the implementing contractor suspects or discovers evidence of impropriety, misuse of funds, or non-compliance, they will notify USAID immediately and take one or more actions as specified in OMB A-110, 62(a) which include:

- temporarily or permanently withholding cash payments;
- disallowing all or part of cost of activity not in compliance;
- wholly or partly suspending or terminating the award;
- taking other remedies as legally available.

The implementing contractor will prepare a report on grant outcomes to the USAID Mission and will meet with USAID as needed.

Chapter 8

Preparation and Documentation for In-Country Training Related Technical Assistance

Chapter 8 presents the required preparation and documentation necessary for USAID-sponsored in-country training-related technical assistance. PTP technical assistance is envisioned as a means of providing additional support to a participant or group of participants that have returned to their respective place of employment following USAID E&E training. The objective of PTP in-country technical assistance is to facilitate and buttress the goals and action plans that participants outlined before and during their training program. In addition, such in-country PTP technical assistance could be targeted at overcoming specific constraints trainees experience in their workplace in transferring the knowledge they have recently acquired through E&E participant training programs.

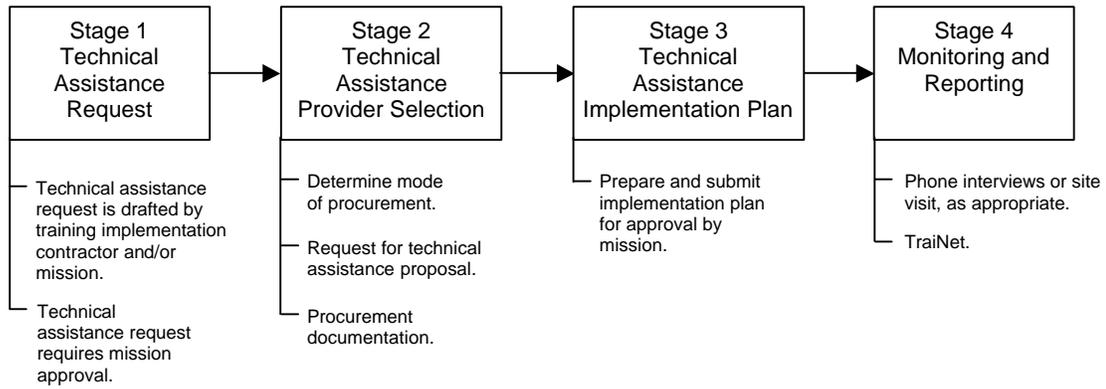
It is important to note the difference between a small grant and a technical assistance intervention, as the two may seem to have similar objectives. A small grant enables the *participants* to further their training goals through their own activities such as organizing a conference or creating their own materials to disseminate to colleagues. A technical assistance intervention, enables an *outside expert or institution* to come in to the participant's work place to provide a variety of technical services over a specified period of time.

Training-related technical assistance interventions might include:

- Bringing staff from an organization that has provided U.S. or third-country training to work with trainees in their home institutions to apply and transfer their newly acquired knowledge, skills and attitudes;
- Fielding a faculty member from a U.S. university to work side-by-side host country faculty in an in-country institution on curriculum, materials development, and supervision of teaching and teaching courses;
- Providing different sector specialists, as appropriate, to work with trainees at their workplace to address specific constraints and/or barriers which are preventing them from carrying out their action plans; and
- Translation or procurement of training manuals or guides.

In response to Mission requests, the training implementation contractor(s) will coordinate, administer and monitor all in-country-training related technical assistance interventions. It is important to emphasize that all such technical assistance interventions must be integrated into a given Mission's training plan.

IMPLEMENTING TECHNICAL ASSISTANCE REQUIRED STEPS AND ACTIVITIES*



* The sequence presented in the chart may not be exact for every training-related technical assistance activity.

STAGE 1 – The Technical Assistance Request

Activity 1 – Draft the Technical Assistance Request

As part of the integrated services packages of the E&E Regional Participant Training Program, the implementing contractor(s) may develop and draft all training-related technical assistance requests on behalf of the cognizant Mission, in accordance with Mission input and with Mission support. On the other hand, certain Missions may prefer to provide the implementing contractor(s) with completed technical assistance requests. In either case the implementing contractor(s) is required to enter all technical assistance concepts and requests through the Training Interventions Online Library (TIOL), which is available on the USAID/E&E Participant Regional Training Website (www.eetraining.net).

The technical assistance concept/request forms on the TIOL database guides the drafter through the necessary elements that make up a sound and well-developed technical assistance request. Much of the information in the request is based on the training intervention for which the technical assistance is providing follow-up support.

In the request, participants and location of technical assistance (i.e. participant's work place or other appropriate location) should be identified. The type of technical assistance needed, as follow-up support to the previous training intervention, must be clearly defined. Other necessary elements of the technical assistance request include the length of the assistance (whether a series of activities or just a single TA intervention, for example), how many experts may be needed, and foreign language requirements of the technical assistance provider, if an interpreter will not be used.

It should be noted that it is not envisioned that commodities will be a prime deliverable of a technical assistance intervention. A PTP grant may be better suited for the purchase of training-related commodities (refer to Chapter 7 for more details on training-related small grants).

Activity 2 – Mission Approval

All technical assistance requests must be approved by the Mission. As they become part of the Training Plan, technical assistance requests are often reviewed and signed by several managers in the Mission such as the SO Team leader, Program Officer, and/or Mission Director. When the highest-level approval is received, the technical assistance request is approved and the training implementation contractor may begin to commit to or incur costs.

STAGE 2 – Technical Assistance Provider Selection

Technical Assistance Provider services under the E&E Regional Participant Training Program will be procured through limited competition. Within the parameters of limited competition and approved by the Office of Procurement, technical assistance provider services may be procured in three ways:

competitive procurement, non-competitive procurement and sole source procurement.

Activity 1 – Determine Mode of Procurement

The implementing contractor(s) will determine the type of procurement to be used for obtaining technical assistance provider services using the guidelines detailed in this section of the handbook.

The implementing contractor(s) will generally be required to competitively solicit for technical assistance services. However, there will be specific instances where competitive solicitation will not be required and may be awarded to technical assistance providers non-competitively. A non-competitive or sole source procurement may be used if the technical assistance provider is the same institution that has provided the previous training or has exclusive or predominate capability in the targeted area of need.

Activity 2 – Request for Technical Assistance Proposal

Competitive Procurement

The contractor(s) identifies potential technical assistance providers through research and by sending a Request for Technical Assistance Proposal. Interaction with the potential technical assistance providers must be conducted in accordance with the procedures developed specifically for the informal, limited competition of the E&E Regional Participant Training Program and approved by USAID's Office of Procurement. Documentation of the interaction should be retained in the contractor(s)' program files.

The implementing contractor must take into account several factors when reviewing proposals. Among them are cost containment, expertise of technical assistance providers, and that the topic and methodologies of the assistance are designed to meet the needs of the participants.

Non-Competitive and Sole Sourced Procurement

The E&E Bureau requires that the implementing contractor(s) obtain proposals from **all** technical assistance providers regardless of whether the procurement for the event is competitive, non-competitive or sole-source. The implementing contractor(s) is responsible for ensuring the quality of all technical assistance interventions through the E&E Regional Participant Training Program and therefore must be in a position to negotiate with and provide technical guidance through the proposal review process.

Activity 3 – Documentation of Procurement

Competitive Procurement

Once potential technical assistance providers submit a bid for competitive procurement, the material sections of each proposal are carefully reviewed. The implementing contractor recommends the most cost-effective, quality technical

assistance program to the USAID Mission through a recommendation memo. The recommendation memo and proposals should also include a budget.

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

The USAID Mission makes the ultimate determination regarding who will provide the technical assistance program. The Mission may not necessarily choose the implementing contractor's recommended provider. However, the USAID Mission is required to sign the recommendation memo indicating either approval of the recommended provider or selection of another proposed technical assistance provider. The implementing contractor will request explanation from the Mission should their recommended provider not be chosen.

Non-Competitive Procurement

The implementing contractor(s) will provide the Mission with documentation which supports non-competitive procurement if the circumstances meet the criteria for it. This documentation must be prepared prior to engaging in negotiations for a non-competitive award. Such documentation should be included in the technical assistance request form and must be approved by the Mission.

Sole Source Procurement

In those instances where the Mission has requested sole source procurement with a specific technical assistance provider, the implementing contractor(s) will prepare, using justification from the Mission, appropriate documentation for the sole source procurement. Such documentation should be included in the technical assistance request. If Mission approval has not been obtained through the technical assistance request, a separate sole source memo is required. The Mission is required to sign documentation justifying sole source procurement and to provide written approval for it.

STAGE 3 – Technical Assistance Implementation Plan

Activity 1 – Prepare and Submit Implementation Plan

The Technical Assistance Implementation Plan is a document prepared by the implementing contractor(s) that holds in one place all the critical information of the technical assistance, including the itinerary and budget. Required elements include the following:

- name of technical assistance intervention;
- names of participants;
- name of technical assistance provider;
- description of type of technical assistance to be provided;
- technical assistance dates;
- assistance objectives;

- itinerary including day-to-day description of technical assistance methodologies;
- budget worksheet.

The implementation plan must be signed by the Mission.

Activity 2 – Arrange for Interpreters

An interpreter is a requirement for participants of a technical assistance intervention who do not speak the language to be used by the TA provider.

Here are some key considerations to remember when arranging for interpreters:

- Interpreting is a skill. Not all people who speak a language can interpret.
- The outcome of technical assistance that involves an interpreter depends, to a great deal, on the quality of the interpreter. Background, experience, and reference checks are important.
- Interpreters' rates for each TA activity must be negotiated to the lowest possible rate based on the level of interpretation needed for the particular program. Implementing contractor and the Mission in each country should determine a recommended maximum rate for interpreting.

STAGE 4 – Monitoring TA Interventions and Reporting

Activity 1 – Implementing Contractor Conducts Monitoring

For technical assistance activities, the implementing contractor(s) field offices are responsible for staying in regular contact with the technical assistance provider and can be alerted through that channel if problems arise. In addition, personal calls to the participant(s) is highly recommended and is usually part of the monitoring procedure.

A monitoring site visit to observe technical assistance intervention may be conducted when appropriate. The implementing contractor can then evaluate if the technical assistance is meeting the needs as outlined in the Mission's technical assistance request. The contractor will be responsible for reporting to the Mission the outcome of the technical assistance intervention. This review will specify whether the technical needs have been met, or have not been met and why, or if additional technical assistance activity is needed.

Chapter 9

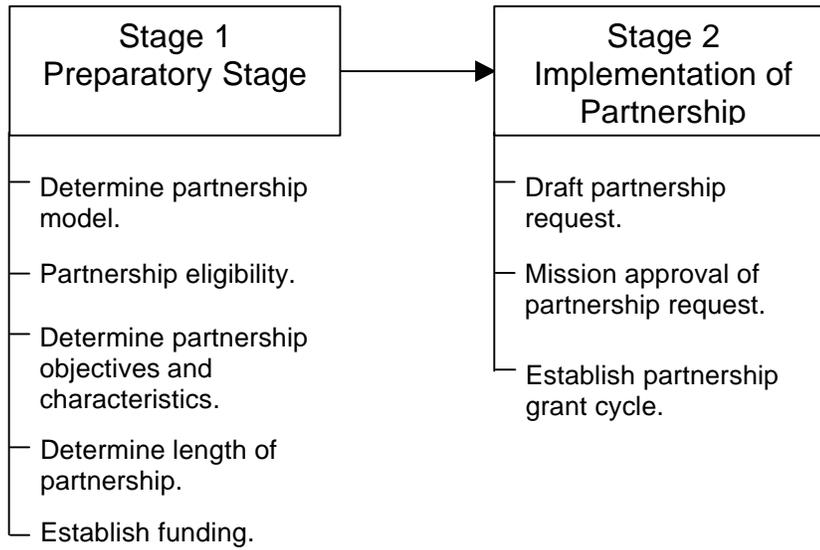
Guidelines for Training-Related Partnerships

PTP partnerships are envisioned as a means of complementing and reinforcing the goals and objectives of one or more associated training interventions as approved by a Mission in its training plan. Specifically, PTP partnerships will both: (1) provide leverage to training interventions that are targeted towards human resource development under a given SO, and (2) improve the performance of selected partner organizations and other host country indigenous institutions. While a training-related partnership could certainly buttress the goals and action plans that participants outline before and during an associated training intervention, it is considered a particularly effective mechanism for changing institutional behavior and organizational development. Thus, the use of a training-related partnership is expected to prove useful when it supports Strategic Objectives where institutional change is critical to the success of specific Mission targeted results.

In response to Mission requests, the training implementation contractor(s) will fund and administer training-related partnership grants on behalf of USAID in accordance with the guidelines set forth in this chapter. In this capacity, and with input from USAID, the implementing contractor(s) can: draft solicitations, conduct screening sessions, establish selection panels, make selections or recommendations, provide technical support, monitor and evaluate partnership performance, and monitor/track partnership financial data.

This chapter provides guidelines required by the E&E Bureau for training-related PTP partnerships.

GUIDELINES FOR TRAINING-RELATED PARTNERSHIPS



STAGE 1 – Partnership Planning Stage

Activity 1- Determine Partnership Model

Partnerships funded under PTP should fall under one of the following models:

- A single Eurasia or CEE institution partnered with a single U.S. institution;
- A consortium of institutions on one side, a single institution on the other; or
- A consortium of institutions on both sides of the partnership.

Its important to note that while partnerships can be set up among several institutions, coordination and accountability become difficult as the numbers of organizations increase.

Activity 2 – Ensure Partnership Institution Eligibility

Examples of eligible institutions include educational/training institutions (academic and professional), PVOs/NGOs, professional associations, trade associations and other public/private organizations. For-profit organizations are eligible for PTP partnership funding, but only for activities that promote PTP objectives.

Activity 3 – Determine Partnership Objectives and Characteristics

PTP partnerships should show potential for developing into self-sustaining linkages which can become self-financing after USAID assistance phases out. Partners must establish and follow a strategy to achieve sustainability early in their relationship in order to survive beyond U.S. government funding. Each partnership needs to create a sustainability plan that includes indicators to help measure progress. Sustainability should be the regular content of partners' dialogues and cooperation.

PTP partnerships should be mutually beneficial and should promote the two-way exchange of knowledge and experience. Partners must be committed to work together as true and equal partners. E&E partnership experience indicates that a partnership project's effectiveness is enhanced when, from the start, there is a clear and mutually created agreement between the U.S. and CEE and/or Eurasia partners on goals, objectives, time-lines, respective roles and responsibilities, target milestones to be met, and so forth.

Both sides should be substantially involved in budgetary planning and the design of partnership activities.

To be successful, partners must establish goals and benchmarks and record baseline data at the beginning of the program. It should be noted that partnerships will be created to assist with the achievement of SOs but each must have intermediate objectives that are measurable.

Although the actual partners may change, the partnership will need to continue to meet its original objectives.

Activity 4 – Select Partnership

U.S. partners must have the following attributes: (1) regional competence and cultural savvy; (2) staff expertise in the technical field; and (3) some country specific language fluency or access to technically competent interpreters.

Recipient Country partners must have: (1) adequate infrastructure; (2) existing or access to communication channels to facilitate the establishment of an e-mail link within a month of start-up; (3) an understanding of the limitations and restrictions of the partnership (e.g., the need to operate according to USG financial rules and regulations); and (4) staff dedicated to the partnership project, not working on multiple projects at the same time.

The use by Missions of an external technical panel as part of the partnership selection process is recommended. These panels can be used to judge technical expertise, regional credentials, U.S. credentials, and the feasibility of accomplishing the partnership proposal. In addition, these panels can recommend changes to the proposed approaches.

Activity 5 – Determine Length of Partnership

A minimum of two years should be considered for a PTP supported partnership. Experience to date indicates that this period of time is required to achieve the desired results from a partnership arrangement.

Activity 6 – Establish Funding of Partnership

Funding Level. The amount of funding, of course, depends upon the objectives of the partnership. However, it is recommended that a yearly minimum funding floor be established for each partnership at \$150,000 to \$175,000 per year (not including participating organization contributions) to ensure that enough resources are available to enable staff of the partnerships to spend some time at each others' institutions. This funding floor also anticipates that each partnership will involve some level of institutional cost sharing (see below). This limits potential losses. Also the instruments can be easily amended. It should also be noted that performance can be used to determine if funding should be increased.

Cost-sharing/In-kind Contributions. PTP partnerships must have a cost-sharing/in-kind contribution on the part of the partner organizations. A partnership in-kind contribution at no less than 25 percent of the overall value of the partnership is recommended. So, for example, if USAID's contribution to a partnership activity is \$175,000 per year, it would be expected that the partner organizations would contribute no less than 25 percent of this amount (i.e., \$43,750). Thus the total value of the partnership, under this scenario, would be \$218,750.

STAGE 2 – Implementation of Partnership

Activity 1 – Draft Partnership Request

As part of the integrated services packages of the E&E training program, the implementing contractor, on behalf of the Mission, may draft and develop an initial training-related partnership concept/request in accordance with Mission and E&E procedures for entering the information into the TIOL system. Alternatively, the Mission could provide the implementing contractor with a developed partnership concept and/or request.

Key elements of the partnership concept, which will be included in the Mission training plan, will include: (1) a description of how the partnership is expected to contribute to the achievement of a specific Mission SO/IR(s); (2) budget parameters (including a cost-sharing component); (3) length of partnership; and (4) any in-country institution(s) that may be appropriate to target as a potential in-country partner organization(s).

Activity 2 – Mission Approval

All partnership concepts and requests must be approved by the Mission. Any training-related partnership concept must be included in the Mission's training plan.

Activity 3 – Establish Partnership Grant Cycle

The training implementation contractor(s) under the E&E PTP program will establish a grant cycle program under which it will make awards to qualified partner institutions.

To accomplish this, the contractor will, on behalf of the Mission, draft solicitations, conduct screening sessions, establish selection panels, make selections and/or recommendations, and execute approved partnership grants. Once grants are in place, the training implementation contractor(s) will provide the partnership with technical support, monitor and evaluate partnership performance, and monitor/track financial data.

GLOSSARY

Academic Training: A program of study in an accredited institution of higher education which is intended to result in the award of an academic degree (e.g. Associate of Arts/Sciences, Bachelor of Arts/Sciences).

Action Plans: Documents that clarify: expectations of the trainees and training providers; how trainees will use their new skills; how trainees will share expertise when they return to work; how technical advisors will support trainees in implementing new skills on the job; and how organizations and work group managers and supervisors will support trainees' efforts to apply new knowledge and skills.

ADS 253: ADS is the acronym for the Agency's policy documents (Automated Directives System). ADS 253 is the document that covers training policies and procedures. All Agency ADS documents are available through the Internet on USAID's website. ADS 253 is available on the E&E training website at www.enitraining.net.

ALI/GU Test: American Language Institute at Georgetown University English Test used to determine the ability of a candidate to participate in a program of academic instruction (long- or short-term program).

Allowances: Allowances are those rates which are to be paid to or on behalf of participants to cover the cost of lodging, food, transportation, books, typing, equipment, professional memberships, and other miscellaneous training expenses. USAID's allowance policy and rates are established by the Human Capacity Development Center and are set forth in ADS 253.

Best Practices: Highly recommended and endorsed Agency procedures to define and produce results-based training activities, developed from field experience across regions and consolidated in guidance material managed by G/HCD.

CEE: Central and Eastern Europe.

Center for Human Capacity Development (HCD): The US-based USAID office within the Global Bureau which provides general direction for USAID-sponsored and financed international training activities.

CEPA Test: Communicative English Proficiency Assessment test to determine a candidate's ability to participate in a program of technical training.

Classroom Training: Training that takes place in a classroom or school setting.

Conferences: Short meetings (generally one week or less) among technical specialists or others working in a common field to discuss a particular topic of shared professional interest. May include component activities with explicit learning objectives as well as general sharing of work-related information.

Cost Containment: A broad term to describe a range of management actions, attitudes, and tools exercised by the sponsoring unit and/or its contractor, grantee or partner to reduce the costs of training. The cost to be contained may be any direct or indirect trainee or training program cost. Includes cost-sharing with the training provider, training contractor, host-country institution, or any other stakeholder.

Cost Control: A synonym for Cost Containment.

Cost Sharing: Cost-sharing describes any instance where USAID or its contractor identifies and arranges financial or in-kind support to the benefit of a participant or training program. Typical cost-sharing includes tuition remissions, assistantships, training-fee discounts, home-stays, in-kind contributions, air fare, trainee salary, and payment of any direct participant cost by the non-USAID funding source. Cost-sharing mobilizes additional financial resources for training, and increases the coverage and effectiveness of USAID's limited budget resources.

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

E&E: Europe and Eurasia region. Also current name of Bureau.

E&E/EEEST: Office of Environment, Energy and Social Transition within the E&E Bureau. EEEST currently houses the Bureau's training office.

ENI: Europe and New Independent States. Former name of E&E region and Bureau.

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

Evaluation: The process of determining whether objectives are met in the short- and long-term. The evaluation may be of the processes used to implement a program as well the program itself. Ultimately USAID's activities are intended to result in positive change which is determined through impact evaluations. In the case of training, for example, it is possible for both the process and program to meet stated objectives and result in no impact. This occurs when the training program fails to be supportive of other technical assistance activities or when there are insufficient numbers of people trained in a particular area to constitute a critical mass. USAID conducts process evaluations, program evaluations, and impact evaluations.

Follow-up/Follow-on and Career Development: Follow-up activities are those designed to track individuals' progress after training. Follow-on activities build on the training experience and are designed to encourage and equip participants to remain professionally involved in their fields. Follow-on activities are normally conducted in-country. They may include: establishing communication networks for returned trainees, publication of newsletters, promoting membership in returned

participant organizations, promoting professional memberships/meetings, in-country professional seminar attendance, related additional training, etc.

FSN: Foreign Service National.

G: References USAID's Global Bureau. G/HCD is an acronym for the Human Capacity Development Office within the Global Bureau.

GTD: Global Training for Development.

Health and Accident Coverage (HAC): USAID's health insurance program that provides coverage for most reasonable, usual, and customary medical costs incurred by participants. All participants studying in the US are to be covered by HAC.

Host Country: The country in which the USAID sponsoring unit is operating.

Host Country National: A citizen of a Host Country.

IAP66A Form (Information Agency Program 66A): This US Information Agency form is completed by a USAID sponsoring unit, or its contractor. It identifies a participant's study program and certifies USAID's financial sponsorship of the participant. The signed IAP66A form must be presented to the US Consular Official as part of the participant's J-1 visa request.

Immigration and Naturalization Service (INS): The United States government agency that administers laws and rules regarding foreign visitors to the U.S.

In-kind Contribution: The value of non-cash contributions to a training program provided by a non-Federal third party. Examples include: equipment, supplies, and expendable property.

Internship/Cooperative Training: Work experience that is designed to enhance the skills the trainee is acquiring through formal training. Paid work experience must be directly related to the field of study undertaken by the trainee or it is not allowed under the Immigration and Naturalization Service rules. Work related to training must be approved by the Director of the Center for Human Capacity Development at USAID in Washington, D.C.

Intermediate Result: A key result that must occur to achieve a strategic objective. Linkages between intermediate results and strategic objectives are causal; the IR must support the achievement of the SO. The IR must be measurable and quantifiably verifiable.

International Science and Technology Institute, Inc.: The lead contractor on the monitoring and evaluation component of the E&E Regional Participant Training Program.

Invitational Travel: Travel authority for host country nationals or residents to visit the US in other than a participant category. This may include giving a formal presentation to a US conference as a technical-professional specialist. Conference attendees who are not formally invited presenters are by definition trainees.

J-1 Visa: The non-immigrant visa permitted by the Immigration and Naturalization Service (INS) for USAID-sponsored participants to use when traveling to the US for training.

Monitoring/Reporting: Regular tracking and updating of the status of a project or the participant, from time of arrival in the US to the day of departure. Status refers to academic progress, visa status, adjustment to new culture, living situation, financial matters, general health of trainee, etc.

MSI: Minority Serving Institution.

New Independent States Exchanges and Training (NET) Project: In the NIS, the NET Project was the original stand-alone training project, and had two components: 1) training, and 2) institutional and professional association partnerships. Training was designed to support the technical assistance activities taking place in the 12 NIS countries.

NIS: New Independent States.

Non-Returnees: Non-returnees are participants who do not return to their home countries by the established return for work or departure date.

Non-Returnee Report: Report detailing the circumstances of the failure of a participant to comply with his or her return for work date. The mission or contractor must provide a Non-Returnee Report to the Bureau's training office and G/HCD as soon as a participant is classified as a non-returnee.

Observation Tours (also Observational Training): Scheduled visits to facilities in several locations to learn a process, method, or system through observation and discussion. Observation tours should emphasize the acquisition of development ideas, attitudes, and values. This training modality is suited to mid to high-level officials/professionals who can benefit from updating or exposure to new ideas and technologies. Teams from a single country or multi-country teams with homogeneous interest/background can often benefit from this type of training. The language of the participants should either be English or the same foreign language to minimize confusion.

On-the-Job Training (OJT): OJT refers to training where the participant actually works at a particular job or assignment in order to acquire skills. OJT is generally the same as internship training but may be offered without an academic component. OJT is an acceptable type of USAID funded training as long as there are no wages involved. OJT training is often difficult to arrange due to potential problems with workers compensation and business liability insurance. Candidates for OJT programs must speak excellent English as business

establishments are generally not equipped to work through interpreters. In addition, if a business could be identified that would accept a participant or two with an interpreter, the unit cost of such training would be prohibitive. USAID-funded OJT programs have been traditionally of very short duration, usually one month or less.

Package Programs: Programs of training or instruction where the payment made to the training provider includes the instructional cost, supplies/equipment, and lodging. Some package programs will also include food. Generally if a program is advertised to include food and lodging, the trainee will not be allowed to obtain lodging or food separate from the program. If alternate arrangements must be made, it is usually not possible to negotiate a price adjustment.

Participant: A term used to refer to any academic or technical student/trainee funded and sponsored by USAID.

Participant Training: A structured learning activity conducted within the US, a third country or in-country for a host country national sponsored by USAID. Participant trainees are interchangeably referred to as "participants."

Participant Training Project for Europe (PTPE): In Central and Eastern Europe, the PTPE was the original stand-alone training project which supported the technical assistance activities taking place in the Region. Unlike the NIS version, this project also included funding to provide training processing services to other contractors in the region. PTPE was implemented by Partners for International Education and Training (PIET), a consortium of institutions that included World Learning, Inc.

Participant Training Program (PTP): Name of current regional participant training interventions activity in Europe and Eurasia.

Partner: An organization or customer representative with whom AID works cooperatively to achieve mutually agreed upon objectives and intermediate results and to secure customer participation. Partners include private voluntary organizations, indigenous and other international non-governmental organizations, universities, other USG agencies, multilateral organizations, professional and business associations, and private businesses.

Performance Indicator (PI): A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. PIs are used to observe progress and to measure actual compared with expected results. PIs answer "how" or "whether" a unit is progressing toward its objective rather than why/why not progress is being made.

Pre-Departure Orientation: Designed to provide trainees of U.S. and third-country programs with current and specific information on what is to be accomplished in their training. Pre-departure orientation may include: social/cultural information; information regarding basic airport routines for international travel; personal finance information; what to expect at the training site.

PVO: Private Voluntary Organization.

PSC: Personal Service Contractor.

Recruitment: The process of identifying candidates for a training program. Recruitment may be done using technical assistance contractor referrals, host country mass media, training announcements, staff referrals, consultants or any unbiased means of attracting candidates.

Results Framework: An articulation of the cumulative impact of all training and related activities supporting a given strategic objective. The cumulative measure of success is achievement of the strategic objective. Intermediate milestone indicators of progress toward final results are included. This framework is established as part of the strategic planning process.

Results Package: Focuses on more immediate impact of activities in a given sector or institution. They are included in the results framework, clearly identifying the intended results of the program. In results packages in which training is the only activity, the contribution of the training to the result is clear and thus the cause and effect relationship is more easily articulated. Where training is one of several activities leading to a specific result, more care must be taken when determining training success or failure as it relates to the results. It may be that training could only have impact if all other components have successful outcomes.

Results, Review and Resource Request (R4): A document that reviews the previous year's results and requests resources for the coming year.

Return for Work Date: The Return for Work Date is normally the expiration date on a trainee's IAP66A, which fixes the end of the training program and departure from the US, adjusted for travel time home.

Selection: The process of choosing qualified candidates for training.

Short-term Training (Also known as Technical Training): Training, regardless of location, that is not designed to lead to the awarding of an academic degree. Short-term training normally lasts between one week and nine months.

SO Team: The Mission group that is committed to achieving a specific strategic objective and whose members hold themselves individually and collectively accountable. The team can include USAID staff only or USAID staff, partners, stakeholders, and customer representatives.

Stakeholder: Individuals and/or groups who have an interest in USAID training activities, programs and objectives. Examples are trainees, their supervisors or work unit managers, training contractors, training providers, and representatives from USAID sponsoring units.

Strategic Assistance Area (SAA): The E&E Bureau has identified four SAAs that are important for the transition of E&E countries to market-oriented, democratic societies. The SAAs provide a common point of reference for E&E Missions and make explicit the bureau's strategic priorities as follows:

- SAA 1: Economic Restructuring
- SAA 2: Democratic Transition
- SAA 3: Social Sector Reform
- SAA 4: Special Initiatives and Cross-Cutting Programs

Strategic Objectives: A finite set of development achievements established by USAID Missions. The strategic objective is the expected outcome resulting from a series of interventions sponsored by the Agency and/or other donor countries/organizations. The strategic objective can be very broad or quite narrow depending on the level of resources that can be devoted to its achievement.

Strategic Plan: A framework that articulates priorities, helps manage for desired results, and links results to the client or customer.

Sub-Intermediate Results: An outcome that must occur in order to achieve an IR.

Technical Assistance (TA) and Technical Assistance Contractors: Contractors whose primary function is to implement sector projects in the E&E region on behalf of USAID. Focus areas may be health, private sector development, environment, housing, etc. Technical Assistance contracts may include training components.

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

Third Country Training: Training which takes place outside the trainee's home or country of residence but not in the United States. Third country training is growing in importance as the capacity of indigenous organizations to do training is improving. Third country training should, to the extent possible, be limited to other USAID recipient countries. Waivers for training in other developed countries must be approved by the Mission Director and must include proper justification for not using either US or developing country institutions as training providers.

TraiNet: USAID's corporate database system enabling the planning and reporting of information on all USAID training activities, including in-country training. TraiNet replaced former training databases such as PTIS and PTMS.

Training: A planned intervention to solve identified performance gaps by organizational staff or independent professionals, through the acquisition and application of new knowledge, skills, or attitudes (KSAs). New KSAs to meet planned training objectives are acquired either via structured learning and follow-

up activities, or via less structured means. Training can consist of long-term academic degree programs, non-academic seminars, workshops, on-the-job learning experiences or observational study tours. Training can be a component of a technical assistance project or a stand alone project.

Training Event: A specific training activity.

Training Event Request Form (TERF): A web-based interactive form used to create, propose, implement, and report on training events in the E&E region. The form is housed on the TIOL database.

Training Impact: Improvements in individual job or organizational performance attributable to new knowledge, skills and attitudes acquired during training and applied at work settings, designed to contribute to institutional, sectoral and host-country development objectives.

Training Implementation Plan: The Training Implementation Plan (TIP) is the training implementation contractor's detailed training program prepared in response to the training request. The TIP covers each segment of the training program, including relationships of training components to strategic objectives, the training institution and location, specific training activities, and the duration of each segment. The TIP describes how the training objectives will be achieved and provides a budget.

Training Intervention Concept (TIC): A web-based interactive form used to create and propose training interventions/concepts that make up a mission's fiscal year training plan.

Training Interventions On-Line (TIOL): A web-based system for the development and warehousing of training plans and associated training interventions.

Training-for-Results Chain: A tool that helps Missions plan and evaluate training activities that support the achievement of the Mission's strategic objectives and intermediate results.

Training, In-country: A learning activity taking place in a classroom or workshop with formally designated instructor(s), learning objectives and outcomes, conducted full-time or intermittently within the host country.

Training Needs Assessment: Identification of country, sector, or project-level human resource development needs. Training needs assessments are done using country demographic information, Government specific information, and special surveys. The needs assessment does not have to be conducted by USAID as long as there is a current reputable information source available from which this information can be gathered. A training needs assessment should be completed or consulted prior to developing any training project.

Training Plan: A training plan is prepared for each Country/Region in the CEE and NIS. The plan will include descriptions of the types of programs that are

planned for the current (and when appropriate future) fiscal year along with the clear articulation of the training objectives for these programs. Because training supports so many strategic objectives, the training activities will be sprinkled throughout the results framework. To implement training activities, however, it will be necessary to develop more detailed training planning documents which will be the basis for estimating resources required to administer training activities. The Training Interventions On-Line (TIOL) database is a web-based system for the development and warehousing of training plans/training interventions.

Training Program: One or more training events in support of a specific Strategic Objective. See also Training Event.

Training Provider: Any institution, organization or individual, whether public, private, non-profit or for-profit, which furnishes instruction directly to a trainee under full or partial USAID funding. Distinct from training contractors, who arrange for such training and are also known as "programming agents".

US Agency for International Development (USAID): The United States government agency responsible for administering development assistance around the world.

Appendix 1

Additional Resources

The E&E Bureau (E&E/EEST) has developed several tools and resources to assist missions, training providers, and implementing contractors in the planning and evaluation of training. They include:

- the Europe and Eurasia Regional Participant Training Website;
- the Training Interventions On-line Library (maintained on the E&E Regional Participant Training Website);
- the Training-for-Results Chain Workbook;
- Success Stories Database (maintained on the E&E Regional Participant Training Website); and
- the ENI Trainer's Guide – Interviewing Protocols and Guidelines manual.

1. The Europe and Eurasia Regional Participant Training Website (<http://www.eetraining.net>) was launched in fall 1997. It is designed to improve communications among Europe and Eurasia training partners, to provide training specialists with resources and references on USAID training policy and procedures, and to serve as a forum for “telling our story” to those who have an interest in the Europe and Eurasia region and USAID-sponsored participant training.

For those whose work involves the implementation of training, the website features several helpful pages as follows:

- **Training Interventions On-Line (TIOL)** The TIOL is fully functioning and can be accessed from several locations on the website by training contractors, technical assistance contractors, USAID Missions and USAID/Washington. Passwords are required.
- **Success Stories Database** The Success Stories Database catalogues the experiences of individuals who have successfully integrated their USAID-funded training into their work in their home country.
- **Program Implementation** This page provides an overview of the E&E Regional Participant Training Program in Europe and Eurasia, program descriptions and field office contact information. It also contains a link to a page that provides information and guidance for organizations and individuals who would like to be considered by USAID as training providers for the Europe and Eurasia regions. Also included are guidelines on what USAID looks for in a training provider and how to prepare successful training proposals.
- **Resources and References** This page contains training policy and reference documents such as ADS 253, a downloadable version of this handbook, the E&E Bureau's Strategic Framework, the Training-for-Results Workbook, and other sources of information.
- **Links** Links to other training-related websites and government agencies may be found on this page.

2. The Training Interventions On-Line Library (TIOL) is a computer database designed to serve as a repository of Mission training plans on the World Wide Web. TIOL offers USAID staff and/or training implementation contractor(s) a standardized format for developing training intervention concepts and requests that support achievement of Strategic Objectives and intermediate results. It is an electronic means of sharing strategies, best practices, and training events.

TIOL passwords are required in order to read completed and approved training interventions and to add and/or edit training interventions under development. Authorized users access the TIOL by clicking on the "Enter" button and submitting their username and password.

3. The Training-for-Results Chain Workbook was developed by the Europe and Eurasia training office in 1999 to assist USAID and contractor staff in developing and monitoring USAID training under reengineering. Specifically, the workbook was created to:

- clarify how training events and training plans contribute to achieving a Mission's Strategic Objectives;
- define the links of the Training-for-Results Chain and to explain the step-by-step process for using the chain to plan training events; and
- provide a reference for using the Training-for-Results Chain in completing the Training Event Request Form on the Training Events On-line Library.

The workbook provides exercises and templates that are useful in planning and evaluating training.

4. The Success Stories Database, maintained on the Europe and Eurasia Participant Training Website, catalogues the experiences of individuals who have successfully integrated their USAID-funded training into their work place. The database is searchable by country, Strategic Objective, field of study, training venue, training provider, and fiscal year. The stories are submitted by the implementing contractor and are an excellent resource for those who want to read a "real-life" example of the training sponsored by USAID.

5. The ENI Trainer's Guide - Interviewing Protocols and Guidelines manual was developed in 1998 to assist USAID staff and training implementation contractor(s) in conducting effective interviews with returned training participants to ascertain the effectiveness and impact of training 6 to 9 months after the training event. The guide provides lessons, exercises, and informational material.

**Agency For International Development
Center for Human Capacity Development**

MEDICAL HISTORY AND EXAMINATION FOR FOREIGN APPLICANTS

(Medical History To Be Completed By Applicant)

1. LAST NAME – FIRST NAME – MIDDLE NAME		2. DATE OF BIRTH (MO/DAY/YR)	
3. NATIONALITY	4. SEX <input type="checkbox"/> Male <input type="checkbox"/> Female	5. ADDRESS FOR CONTACT	
6. TRAINING LOCATION (City, State, Country)		7. LENGTH OF TRAINING (Weeks, Months, Years)	8. ESTIMATED DATE TO BEGIN TRAINING (Month/Year)

9. IMPORTANT NOTICE

Before You Complete The Medical History Questionnaire, You Are Hereby Notified That:

- USAID does not provide medical insurance for dependents who accompany the applicant.
- A Medical condition resulting from an undisclosed pre-existing condition may not be financially compensated for by USAID and may result in termination of your training program.

I Understand And Accept The Terms Of This Notice. Yes No

10. CHECK EACH ITEM "YES" OR "NO," EVERY ITEM CHECKED "YES" MUST BE FULLY EXPLAINED IN BLANK SPACE ON RIGHT

YES	NO		
<input type="checkbox"/>	<input type="checkbox"/>	a. Have you had any significant or serious illness or injury? (if hospitalized, give place & dates)	
<input type="checkbox"/>	<input type="checkbox"/>	b. Have you had any operations or advised by a physician to have an operation? (Give place & dates)	
<input type="checkbox"/>	<input type="checkbox"/>	c. Do you currently use any drugs for treatment of a medical condition? (Give name of & dose)	
<input type="checkbox"/>	<input type="checkbox"/>	d. Have you ever been a patient in a mental hospital or sanitarium or treated by a Psychiatrist? (Give place & dates)	

11. DO YOU NOW HAVE YOU EVER HAD THE CONDITIONS LISTED BELOW? (Indicate "Yes" or "No" To Each Item)

YES	NO	(Check Each Item)	YES	NO	(Check Each Item)
<input type="checkbox"/>	<input type="checkbox"/>	a. Epilepsy, convulsions, "fits"	<input type="checkbox"/>	<input type="checkbox"/>	m. Tropical disease (malaria, bilharzia, amoebiasis, leprosy, filariasis, yaws, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	b. Eye disease, vision defect in both or either eye	<input type="checkbox"/>	<input type="checkbox"/>	n. Depression, excess worry, attempted suicide, or other psychological symptoms
<input type="checkbox"/>	<input type="checkbox"/>	c. Tooth or gum disease (periodontal disease)	<input type="checkbox"/>	<input type="checkbox"/>	o. Drug or narcotic habit such as marijuana, cocaine, heroin, LSD, or any derivatives
<input type="checkbox"/>	<input type="checkbox"/>	d. Asthma, emphysema, or other lung conditions	<input type="checkbox"/>	<input type="checkbox"/>	p. Bleeding disorder, blood disease (sickle cell anemia)
<input type="checkbox"/>	<input type="checkbox"/>	e. Tuberculosis or live with anyone who has tuberculosis	<input type="checkbox"/>	<input type="checkbox"/>	q. Acquired Immune Deficiency Syndrome (AIDS)
<input type="checkbox"/>	<input type="checkbox"/>	f. High blood pressure, heart disease	<input type="checkbox"/>	<input type="checkbox"/>	r. Tumor, abnormal growth, cyst, or cancer
<input type="checkbox"/>	<input type="checkbox"/>	g. Stomach, liver (hepatitis), gallbladder disease	<input type="checkbox"/>	<input type="checkbox"/>	s. Skin disorder, growths, psoriasis
<input type="checkbox"/>	<input type="checkbox"/>	h. Hernia (rupture)	<input type="checkbox"/>	<input type="checkbox"/>	t. Female disorder, growths, psoriasis
<input type="checkbox"/>	<input type="checkbox"/>	i. Kidney or bladder disease, stone or blood in urine	<input type="checkbox"/>	<input type="checkbox"/>	u. Pregnancy
<input type="checkbox"/>	<input type="checkbox"/>	j. Diabetes (sugar in the urine)	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	k. Joint disease or injury, swollen or painful joints	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	l. Back pain, wear a back brace or support	<input type="checkbox"/>	<input type="checkbox"/>	

I CERTIFY THAT I HAVE READ THE ABOVE INSTRUCTIONS AND ANSWERED ALL QUESTIONS TRULY AND COMPLETELY TO THE BEST OF MY KNOWLEDGE.

12. PRINTED NAME OF APPLICANT	13. DATE	14. SIGNATURE OF APPLICANT
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NOTE For the Examining Physician: Please review this Medical History and make appropriate comments on the Examination Form on all positive or significant comments.

REPORT OF MEDICAL EXAM FOR FOREIGN APPLICANTS

(To Be Completed By The Examining Physician)

15. NAME OF PARTICIPANT

Photo

16. HEIGHT

17. WEIGHT

18. BLOOD PRESSURE

19. CORRECTED VISION

L20:

R20:

20. URINALYSIS (Sugar, blood, etc.)

21. BLOOD SEROLOGY TEST FOR SYPHILIS

22. CHEST X-RAY REPORT (Date)

Positive

Negative

23. PREGNANCY TEST (HCG)

Positive

Negative

24. ELECTROCARDIOGRAM REPORT (if indicated by history or physical)

25. CLINICAL EVALUATION: (EVERY ITEM CHECKED "ABNORMAL" MUST BE FULLY EXPLAINED IN BLANK SPACE ON RIGHT)

NORMAL	(CHECK EACH ITEM)	ABNORMAL	DESCRIBE ABNORMAL FINDINGS
<input type="checkbox"/>	Head, Nose, Mouth	<input type="checkbox"/>	
<input type="checkbox"/>	Ears, Hearing Acuity	<input type="checkbox"/>	
<input type="checkbox"/>	Lungs and Chest	<input type="checkbox"/>	
<input type="checkbox"/>	Heart, Rhythm & Sounds	<input type="checkbox"/>	
<input type="checkbox"/>	Vascular System, Varicosities	<input type="checkbox"/>	
<input type="checkbox"/>	Abdomen, Hernia, etc.	<input type="checkbox"/>	
<input type="checkbox"/>	Hemorrhoids, Fistula Prostate	<input type="checkbox"/>	
<input type="checkbox"/>	Urinary System	<input type="checkbox"/>	
<input type="checkbox"/>	Spine, Arms, Legs, etc.	<input type="checkbox"/>	
<input type="checkbox"/>	Skin, Lymph Nodes, Scars	<input type="checkbox"/>	
<input type="checkbox"/>	Neurological	<input type="checkbox"/>	
<input type="checkbox"/>	Emotional Stability	<input type="checkbox"/>	

26. THE PHYSICIAN MUST COMMENT ON ALL ITEMS MARKED "YES" IN THE HISTORY AND COMMENT ON ANY CONDITION DISCOVERED DURING THE EXAMINATION.

27. SUMMARY OF ANY DEFECTS AND DIAGNOSIS

RECOMMENDATION

Medically Qualified for Training

Not Medically Qualified for Training

28. NAME AND ADDRESS OF EXAMING PHYSICIAN (Please Print or Type)

29. SIGNATURE OF EXAMINING PHYSICIAN

30. DATE OF EXAMINATION

ADMINISTRATIVE REVIEW OF MEDICAL EXAMINATION

(For Use By Post Training Office)

1. NAME OF CANDIDATE: *(Last, First, Middle)*

MEDICAL CLEARANCE ACTION

ACTION BY SPONSORING UNIT OR DESIGNEE

- Recommend Approval of Applicant's Entry Into Training Program
- Recommend Disapproval of Applicant's Entry Into Training Program
- Recommend waiver of Applicant's medical ineligibility for the following reasons. Health cost liability for pre-existing medical conditions will be assumed by the Mission or other responsible party.

REASON FOR REJECTION / WAIVER OF INELIGIBILITY

SIGNATURE	PRINTED NAME	DATE
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REVIEWED BY:	
SIGNATURE	PRINTED NAME

MEDICAL WAIVER ACTION

Applicants rejected for training because of medical problems may be re-evaluated for training with a waiver of H.A.C. coverage for specified pre-existing condition.

The USAID Mission may determine to grant a waiver when:

1. It is felt that the period of training will be of short duration and medical condition is unlikely to be activated or aggravated during that period; or
2. The training is considered essential to the program objective.

By granting this waiver request, the USAID Mission accepts full responsibility to ensure payment of all claims arising from waived conditions. This determination by the USAID Director or U.S. officer designee must be obtained prior to further processing of the applicant.

Waived Condition(s):

SIGNATURE	DATE
PRINTED NAME	POSITION TITLE

THE AGENCY FOR INTERNATIONAL DEVELOPMENT
CENTER FOR HUMAN CAPACITY DEVELOPMENT

GUIDE TO MEDICAL FITNESS STANDARDS FOR APPLICANTS

Applicants must be screened to identify medical conditions, which might limit their ability to complete their training or might result in excessive costs for medical care for a preexisting condition.

This guide provides medical fitness standards of sufficient detail to ensure uniformity in the medical evaluation of applicants for training programs. Although the guide attempts to generally include all disease conditions, it is not possible to cover every disease or physical finding. It is the responsibility of the medical examiner to use sound medical judgment to determine fitness of those personnel whom have medical findings not covered precisely by the guide.

If a disqualifying defect listed in this guide is identified but not considered disqualifying for this particular applicant, the examining physician should state the reasons why the finding is not likely to limit performance or cause undue risk during training. In addition, those conditions indicated as causes for rejection, which can be corrected by treatment or by spontaneous cure will be reconsidered following resolution and/or therapy when substantiating studies have been completed and received.

The medical assessment should be based on the established classifications given in the following Guide to Medical Fitness.

MEDICAL CONDITIONS LISTED UNDER EACH HEADING IN SECTION ONE THROUGH SIXTEEN ARE REASONS FOR DISQUALIFICATION UNLESS OTHERWISE STATED.

CONTENTS

SECTION	1	ABDOMEN AND GASTROINTESTINAL SYSTEM
SECTION	2	BLOOD AND BLOOD-FORMING DISEASES
SECTION	3	EARS AND HEARING
SECTION	4	ENDOCRINE AND METABOLIC DISORDERS
SECTION	5	MUSCULO-SKELETAL SYSTEM
SECTION	6	EYES AND VISION
SECTION	7	GENITO-URINARY SYSTEM
SECTION	8	HEAD AND NECK
SECTION	9	HEART AND VASCULAR SYSTEM
SECTION	10	HEIGHT, WEIGHT AND BODY BUILD
SECTION	11	LUNG AND CHEST WALL
SECTION	12	MOUTH NOSE, PHARYNX, TRACHEA, ESOPHAGUS AND LARYNX
SECTION	13	NEUROLOGICAL DISORDERS
SECTION	14	PSYCHOSES, PHYCHONEUROSES, PERSONALITY DISORDERS, ALCOHOLISH, DRUG DEPENDENCE, ETC.
SECTION	15	SKIN AND CELLULAR TISSUES
SECTION	16	SYSTEMIC DISEASES AND MISCELLANEOUS CONDITIONS AND DEFECTS

MEDICAL CONDITIONS LISTED UNDER EACH HEADING ABOVE ARE
REASONS FOR DISQUALIFICATION UNLESS OTHERWISE STATED.

ABDOMEN AND GASTROINTESTINAL SYSTEM

Cholecystitis (gall bladder disease) chronic with symptoms so severe as to interfere with normal activities.

Cholelithiasis (gall stones), symptomatic or asymptomatic.

Cirrhosis demonstrated by abnormal liver function tests with or without jaundice, or with ascites or varices of the esophagus.

Hepatitis, active or chronic demonstrated by liver function tests.

Hernia, symptomatic inguinal, umbilical, hiatal.

Intestinal tract, megacolon, diverticulitis, ulcerative colitis, Chron's disease.

Rectum and anus, stricture, fissure, prolapse, hemorrhoids.

Pancreas, acute or chronic disease.

Spleen, diseases involving, splenectomy within the last two years.

Tumors, benign or malignant. (see section 15)

Ulcer, stomach or duodenal confirmed by history or X-Ray.

OTHER CONGENITAL OR ACQUIRED ABNORMALITIES
AND DEFECTS WHICH REQUIRE SPECIAL MEDICAL
CARE.

BLOOD AND BLOOD-FORMING TISSUE DISEASES

Anemias, blood loss anemia, abnormal destruction of RBCs (hemolytic anemia) faulty RBC production including: hereditary hemolytic anemia, thalassemia, sickle cell and other clinically significant hemoglobinopathies.

Hemorrhagic states, caused by coagulation defect or vascular instability.

Leukopenia, chronic or recurrent.

Myeloproliferative disease, polycythemia, leukemia, etc.

Hypogammaglobulinemia

Acquired Immune Deficiency Syndrome & ARC\

Malignancies, those conditions associated with the blood forming elements.

EARS AND HEARING

Auditory canal, tumors or obstruction of the ear canal.

Mastoids, chronic mastoiditis.

Tympanic membrane (ear drum), perforation or severe scarring associated with a hearing level below standards and requiring hearing apparatus.

OTHER DEFECTS AND DISEASES OF THE EAR REQUIRING FREQUENT AND PROLONGED TREATMENT.

Hearing defect, significant hearing loss determined by audiometer. Use of a hearing aid to bring auditory acuity up to acceptable standards is permitted.

ENDOCRINE AND METABOLIC DISORDERS

Adrenal gland, abnormal function of any degree.

Diabetes mellitus, requiring insulin and not controlled by diet, history of acidosis.

Thyroid, goiter, thyroid nodule (benign or malignant), hypo or hyperthyroidism.

Gout, moderate to severe with renal complications, any gouty condition not controlled by diet or medication.

Hyperlipidemia, familial.

OTHER ENDOCRINE OR METABOLIC DISORDERS WHICH REQUIRE FREQUENT MONITORING AND TREATMENT.

MUSCULO-SKELETAL SYSTEM

Extremities, congenital or acquired abnormality which requires frequent observation, evaluation and/or treatment including prosthetic appliances.

Arthritis, chronic osteoarthritis or traumatic arthritis, rheumatoid arthritis documented by laboratory studies or by history.

Osteomyelitis, any infection involving bone, including tuberculosis, which is active or recurrent, unless successfully treated two or more years previously.

Spine, diseases, abnormalities, or injuries which require continual treatment or evaluation of the spine and prevent physically active participation in training. Intervertebral disc herniation or history of surgical intervention unless two or more years have passed and no symptoms exist.

Fractures, any fracture of a bone which has not healed completely and therefore requires continual treatment.

EYES AND VISION

EYES

Lids, ptosis, growth or tumor, which interferes with vision.

Conjunctiva, conjunctivitis, including trachoma interfering with normal vision.

Cornea, opacification of the cornea from any cause, including corneal ulcer, herpetic ulcer.

Retina, degeneration, detachment of the retina, or congenital condition that impairs vision.

Lens, opacities or dislocation of the lens which interferes with vision.

Glaucoma, primary or secondary that is not easily controlled by medication or where vision is significantly affected.

ALL OTHER DEFECTS AND DISEASES WHICH IMPAIR VISION OR REQUIRE CONTINUED EVALUATION AND TREATMENT.

VISION

Distant vision, visual acuity which does not correct to at least one of the following:

20/30 in one eye and;
20/100 in the other eye.

20/20 in one eye and;
20/400 in the other eye.

GENITO-URINARY SYSTEM

Kidney, absence of one kidney unless the remaining kidney has normal function, cystic or polycystic kidney, chronic infection of the urinary tract such as pyelonephritis, glomerulonephritis, or tuberculosis. Any tumor or persistent calculi (stone) which is identified and symptomatic.

Ureter, bladder, urethra, any infection which does not respond to treatment or reoccurs with such frequency so as to interfere with normal function. Stones located in any portion of the urinary tract.

Testicles, undescended testicle unless surgically corrected, epididymitis, or tumors and cysts involving this organ.

Prostate, enlargement to such a degree so as to cause obstruction to urine flow, chronic infection.

Uterus, enlargement due to fibroids.

Pregnancy, until satisfactory delivery and no residual complication.

Ovaries, cysts or tumors or chronic infections involving the tubes (salpingitis).

Genitalia, male or female, any abnormality, acquired or congenital, that will require treatment; this includes cystocele, rectocele, vaginal cysts, hydrocele, etc.

Tumor, any tumor, benign or malignant, of the genito-urinary system.

ALL OTHER CONDITIONS INVOLVING THE G-U SYSTEM
THAT WILL INTERFERE WITH NORMAL FUNCTION OR
REQUIRE EXTENSIVE MEDICAL CARE.

HEAD AND NECK

Abnormalities, any injury or congenital changes which affect normal function.

Skull, any deformity if associated with evidence of compromise of brain, spinal cord, or peripheral nerve function.

Neck, congenital bronchial cleft cyst, spastic contraction of neck muscles (torticollis), cervical lymph node enlargement.

ALL OTHER CONDITIONS INVOLVING THE HEAD AND NECK THAT PROHIBIT NORMAL FUNCTION OR WHICH MAY REQUIRE EXTENSIVE MEDICAL CARE.

HEART AND VASCULAR SYSTEM

Congenital abnormalities, heart and major vessels unless such abnormalities have been satisfactorily corrected without prosthesis and there are no residual or complications of treatment.

Valvular disease, this includes mitral valve prolapse which has persistent hemodynamic significance.

Ischemic myocardial disease, occlusive coronary artery disease as manifested by any of the following:

- History of myocardial damage
- Symptoms of acute or chronic ischemia
- Electrocardiographic evidence of myocardial ischemia.

Pericarditis, including constrictive pericarditis unless surgically corrected.

Endocarditis, valve deformity with or without myocarditis.

Hypertrophy (enlargement) of the heart, dilatation for any reason including congestive failure, parasitic infection (Chaga's disease), etc.

Abnormal electrocardiogram, evidence of myocardial infarctions arrhythmias, conduction disorder or defect including second or third degree heart block, persistent tachycardia or bradycardia.

Hypertension, manifested by consistent systolic pressure readings of 160 mm Hg. Or more in a 35 year old person, 140 mm Hg. Or more in a person under 35 years old, or in a person whose diastolic pressure remains above 95 mm Hg. At any age. Pre-existing hypertension well controlled by drug therapy and no evidence of involvement of any organs may be exempted if verified.

Acquired diseases of the circulatory system, aneurysms of major vessels, varicosity's, thrombophlebitis, occlusive disease of vessels, arterio-spastic diseases, etc.

Rheumatic fever, evidence of Rheumatic Fever present now or within the past two years.

Coronary revascularization, any person who is a candidate for coronary bypass surgery or who has had such surgery in the past year.

ANY CARDIOVASCULAR CONDITION THAT INTERFERES WITH NORMAL FUNCTION OR REQUIRES MEDICAL CARE AND MONITORING.

HEIGHT AND WEIGHT

Proportion of height to weight which would limit physical activity or normal function and place the subject at increased medical risk is reason for rejection.

The examining physician should include an evaluation of the subject's physical condition and reject those whose weight exceeds that from the height/weight table by more than 30 percent.

Height and Weight Tables*

MEN						WOMEN			
Height Feet	Height Inches	Small Frame	Medium Frame	Large Frame	Height Feet	Height Inches	Small Frame	Medium Frame	Large Frame
5	2	128-134	131-141	138-150	4	10	102-111	109-121	118-131
5	3	130-136	133-143	140-153	4	11	103-113	111-123	120-134
5	4	132-138	135-145	142-156	5	0	104-115	113-126	122-137
5	5	134-140	137-148	144-160	5	1	106-113	115-129	125-140
5	6	136-142	139-151	146-164	5	2	108-121	118-132	125-143
5	7	138-145	142-154	149-168	5	3	111-124	121-135	131-147
5	8	140-143	145-157	152-172	5	4	114-127	124-138	134-151
5	9	142-151	148-160	155-176	5	5	117-130	127-141	137-155
5	10	144-154	151-163	158-180	5	6	120-133	130-144	140-159
5	11	146-157	154-166	161-184	5	7	123-136	133-147	143-163
6	0	149-160	157-170	164-188	5	8	126-139	136-150	146-167
6	1	152-164	160-174	168-192	5	9	129-142	139-153	149-170
6	2	155-168	164-178	172-197	5	10	132-145	142-156	152-173
6	3	158-172	167-182	176-202	5	11	135-143	145-159	155-176
6	4	162-176	171-187	181-207	6	0	138-151	148-162	158-179

*In shoes with one-inch heels and under clothing weighing five pounds for men and three pounds for women.

LUNGS AND CHEST WALL

Tuberculous lesions, active tuberculosis or evidence of tuberculosis within the past two years. Treated and healed tuberculosis which is demonstrated as inactive by X-ray and laboratory studies is not disqualifying. The subject should not currently require anti-tuberculosis treatment.

Lung, lobectomy for any reason, pneumothorax which has reoccurred within the past two years regardless of cause, abscess of the lung bullous emphysema, or bronchopleural fistula.

Infectious disease, any non-tubercular chronic infection involving the lungs such as sarcoidosis, histoplasmosis, coccidiomycosis mycotic infections, chronic lung abscesses.

Respiratory diseases, asthma requiring frequent medication and/or requiring hospitalization in the past five years, bronchiectasis, chronic emphysema, and extensive pulmonary fibrosis.

Tumor, any tumor or growth, malignant or benign.

Chest wall, any deformity causing pulmonary insufficiency.

ALL OTHER CONDITIONS OF THE CHEST AND LUNGS
THAT RESULT IN DIFFICULTY IN RESPIRATION AND
THUS LIMIT ACTIVITY OR REQUIRE EXTENSIVE
MEDICAL CARE ARE REASONS FOR REJECTION.

MOUTH, NOSE, THROAT, ESOPHAGUS, LARYNX

Nose, allergies not controlled by medication, nasal polyps, perforated nasal septum associated with interference of function.

Sinuses, chronic sinusitis requiring frequent medical attention.

Pharynx/Larynx, disease condition which results in ulceration or obstruction, tumor or polyps, laryngeal paralysis which interferes with swallowing or speech.

Esophagus, obstruction due to scarring or tumor, varicose veins associated with portal hypertension.

Tongue, paralysis affecting speech, tumors.

ALL OTHER CONDITIONS THAT INTERFERE WITH
FUNCTION OR REQUIRE CONTINUED MEDICAL CARE.

NEUROLOGICAL DISORDERS

Degenerative disorders, cerebral arterial sclerosis, ataxias, multiple sclerosis, Parkinson's disease, etc.

Convulsive disorders, all forms of psychomotor or temporal lobe epilepsy except by history more than five years previous and not requiring medication for control.

Migraine headaches, those headaches which respond poorly to treatment and result in incapacitation.

Paralysis, incapacitation, congenital or acquired, if subject is unable to care for himself or where therapy or appliances are required.

Peripheral nerve disorder, neuralgia which is chronic and of an intensity that is incapacitating, polyneuritis, neurofibromatosis.

NEUROLOGICAL CONDITIONS THAT LIMIT FNCTION
AND THE ABILITY TO COMPLY WITH TRAINING
PROGRAMS OR REQUIRE ETENSIVE MEDICAL CARE.

PSYCHOSES, PSYCHONEUROSES, PERSONALITY
DISORDERS, DRUG DEPENDENCE, ETC.

Psychoses, current behavior suggestive of a psychosis or by history unless of a brief duration and at least three years have elapsed since recovery.

Psychoneuroses, neurotic symptoms or behavior which impairs occupation or interpersonal effectiveness, depressive state which is or was sufficiently severe to require hospitalization or therapy.

Personality disorders, personality inadequacy which will seriously interfere with adjustment.

Drug dependencies, this includes all illegal drugs and the state of alcoholism which is characterized by repeated and excessive abuse of alcohol which interfere with normal functions. Recovering alcoholics who have a period of sobriety for more than three years may be considered for training if continued participation in a form of treatment can be assured.

OTHER PSYCHIATRIC CONDITIONS WHICH INTERFERE
WITH EXPECTED ACTIVITIES OR THOSE WHICH MAY
INVOLVE OR AFFECT OTHERS ARE REASONS FOR
DISQUALIFICATION.

SKIN DISORDERS

Lupus erythematosus, discoid or systemic which is not controlled or is aggravated by sunlight.

Psoriasis, if extensive and requiring frequent medical attention.

Pemphigus, familial and vulgaris, especially when in bullious form and requiring extensive medical care.

Fungal any of the fungal infections which are chronic and unresponsive to treatment.

Eczema, atopic dermatitis, if symptomatic and unresponsive to treatment.

Malignancies, basal cell, squamous cell, or malignant melanoma cancers which have not been adequately treated, leukemia cutis.

OTHER CHRONIC DISORDERS OF THE SKIN OF A
DEGREE OR NATURE WHICH REQUIRE FREQUENT
OUTPATIENT TREATMENT OR INTERFERE WITH NORMAL
FUNCTION.

SYSTEMIC DISEASES AND OTHER CONDITIONS

Tuberculosis, active tuberculosis in any form or location except treated or spontaneously healed lesions for more than one year under supervised treatment.

Sarcoidosis, unless the manifestations of the disease are limited to hilar adenopathy and the condition has been stable for more than two years.

Allergies, all forms of skin, respiratory, rhinitis allergies that require constant medical evaluation, treatment or desensitization.

Parasitic infections, this includes schistosomiasis, filariasis, trypanosomiasis, amebiasis, hookworm, and other similar parasitic infections until successfully treated.

Tumors, for this purpose, tumor includes all malignancies and benign lesions which interfere with normal function, require extensive medical treatment or surveillance and have the potential for increased morbidity or mortality.

Malignancies, this includes lymphomas, leukemia, Hodgkins disease, etc.

Venereal, any acute or chronic venereal disease such as Syphilis, Gonorrhea, Lymphogranuloma Benereum, Acquired Immune Deficiency Syndrome (AIDS), etc. The finding of a positive blood test for syphilis following the adequate WHO treatment is not in itself considered evidence of chronic venereal disease.

TO: Field Office/Mission
 FROM: Name of Programmers
 DATE: Date that TIP is executed
 PAGES: Number of pages of TIP

TRAINING IMPLEMENTATION PLAN
Name of Program

1. **Training Subject:** Brief description of program, program objectives and what is expected of participants upon their return home as a result of the training.
2. **Program Date:** Dates of training event.
3. **Duration of Training:** Number of days of training
4. **Name(s) of Participant:** Names of all participants including gender and HAC ID number if available.
5. **Name of Training Provider:** Name of Training Provider and phone, fax and address of primary contact.
6. **Name(s) and Contact information of training programmers:** Names of US or Field Office staff in charge of program, including emergency contact information. Also include name of interpreter if one will be used.
7. **International Travel Information (if UST, or TCT):** A clear and detailed schedule of arrival and departure travel arrangements and responsibility for tickets (whether handled by field or DC) should be included. In the following sample format preferably:

Date of Flight	Flight number	Airline Company	Flight (from-to)	Departure	Arrival
12-Mar-2000	R# 151	Armenian Airlines	Yerevan-Amsterdam	08:10	10:00
12-Mar-2000	KL 6037	United	Amsterdam-Washington	11:35	14:30
01-Apr-2000	KL 6037	United	Washington-Amsterdam	17:05	7:45
02-Apr-2000	R3 152	Armenian Airlines	Amsterdam-Yerevan	12:50	20:20

8. **Luggage Information:** Information on luggage limitations and handling.
9. **Domestic Travel Information:** A clear and detailed schedule of arrival and departure travel arrangements should be included. In the above sample format for air travel. Bus or other transportation should also be clearly described here.
10. **Weather information:** Average temperatures of cities to be visited and clothing suggestions.

11. Accommodations: Briefly describe accommodations, list hotel name(s), address and phone number. Do **not** include cost here. Sample text:

“Participants will be housed in double-occupancy rooms in Washington, DC and Baltimore, MD. In Chicago, they will stay with host families. Most of host families will speak Armenian.

Hotel in Washington, DC

Capital Suites

New Hampshire Avenue
Washington, DC 20009

Phone: 202-234-3200

Fax: 202-387-0085

Capital Suites hotel rooms include hair dryer, TV, microwave. Fitness Center available.

Hotel in Baltimore, MD

Maryland Suites

Howard Street

Baltimore, MD 21201

Phone: 410-999-9990

Fax: 410-999-9992

Maryland suites hotel rooms have no coffee makers, hairdryers, or mini-bars. No pool or fitness center.”

12. Allowance Information: Include information on Advance Maintenance Allowance and a detailed schedule of daily meal and incidental allowance.

13. Receipts: Information on how participants are to handle receipts.

14. Business Cards: Remind participants to bring them.

15. Income tax status (UST): For example, “Based on information provided, training assumed to be job related.

16. Confirmation of Med Certs (UST): If HAC enrollment not processed yet, list a DEADLINE for Mission to confirm Med Certification. Also include any pertinent HAC information such as what do if participant becomes ill and deductibles.

17. J-1 Visa requirements (for UST): Reiterate J-1 visa requires that participants return home immediately following the training program.

18. Training Program Outline: A full description of the training program is a critical component of the TIP and must be included. The outline should go over in detail *every day* of the training including the times set for meetings, site visits, lectures, and

cultural events. Methodologies used for each day of training, names of trainers and the training objectives and purposes of each day should also be included. Also to be indicated on the TIP are all accommodations that have been arranged for each particular day. If there is any other pertinent information that the participant will need, such as the time for check in and check out of hotels, contractor interview times, transportation directions, and so forth, it should go in this section of the TIP.

19. Budget Worksheet (BWS): On a **separate** page write out **all** confirmed costs of the program for approval by the USAID Mission. All participant expenses should be clearly indicated and not grouped together in totals. The budget sheet should be signed by the program manager. The following format should be used:

PARTICIPANT TRAINING BUDGET WORKSHEET

Program Title:
 Country:
 Training Provider:
 Start/End Dates:
 Number of weeks:
 Prepared by (sign):
 Reviewed by (sign):

Participants:

	Unit Cost	#of Units	#of Pax	Total per pax	TOTAL
Education/Training Costs					
Clemson Research	\$900.00	1.0	1	\$900.00	\$900.00
Plans and Solutions	\$200.00	1.0	1	\$200.00	\$200.00
				Sub-total:	\$1100.00
Allowances					
Lodging-Clemson, SC	\$35.00	3.0	1	\$105.00	\$105.00
Lodging-Washington,DC	\$60.00	3.0	1	\$180.00	\$180.00
M&IE – Clemson, SC	\$30.00	3.0	1	\$90.00	\$90.00
M&IE - Washington, DC	\$46.00	3.0	1	\$138.00	\$138.00
				Sub-Total:	\$513.00
Travel					
International	\$1,800.00	1	1	\$1,800.00	\$1,800.00
Domestic	\$400.00	1	1	\$400.00	\$400.00
Ground	\$50.00	1	1	\$50.00	\$50.00
				Sub-Total:	2,250.00
Insurance					
HAC	\$42	2	1	\$84	\$84

TOTAL COST PER PARTICIPANT PER WEEK (EXCLUDING HAC AND TRAVEL)

(Implementing Contractor letterhead)
USAID – E&E Participant Training Program

Acknowledgement of Training Objectives

For Individuals

This is to certify that I have received from (name of implementing contractor) a copy of the program description. I have thoroughly reviewed the program's goals and objectives which are as follows:

Program Goals: (Insert Program Goals Here)

Program Objectives: (Insert program Objectives Here)

I am in agreement with these goals and objectives . I am prepared to do my best to ensure their attainment. In this regard, I am willing to engage in the following activities:

- Development of a professional work plan for myself and my organization which incorporates the lessons-learned and knowledge gained from my training program;
- Sharing my training experience with my colleagues, co-workers and other professionals in my field;
- Participation from time-to-time in related professional seminars, workshops and conferences;
- Participation in pre-training activities organized by (implementing contractor) for other professionals who will be taking part in similar training programs; and
- Other activities which (implementing contractor) may organize to further the attainment of the goals and objectives of my training program.

Signature

Date

Printed Name

Title

Training Event Name

**AGENCY FOR INTERNATIONAL DEVELOPMENT
CENTER FOR HUMAN CAPACITY DEVELOPMENT, (HCD)**

CONDITIONS OF TRAINING

1. Name of Participant (Mr., Ms., Dr.) (Family, Given, Other)	
2. Country of Training	3. Strategic Objective

I agree that, as a USAID Sponsored participant, I will adhere to my program, devote my time and attention to my program, and conform to USAID regulations and programs. I understand that I must return to my country without delay upon completion of my training and endeavor to utilize the training acquired under this program for the benefit of my country, and that I may not seek or accept any training program not sponsored by USAID.

Furthermore, I thoroughly understand the following policies of USAID:

- 1. Two-year Residency Requirement:** I understand that I will be required to return home immediately following my program and must remain in my home country for a minimum of two years after the completion of my training program before attempting to secure an immigrant visa or H-1 visa to work in the U.S. I understand that marriage to a U.S. citizen, the birth of a U.S. citizen child, an offer of employment or change of sponsorship, will not change my responsibility to return home upon completion of the program.
- 2. J-1 visa:** I will receive and must remain on an USAID J-1 visa, Program number G-2-0263, during my training program in the United States. I understand that I am responsible for making certain that my J-1 visa is current, and that I notify my monitoring contractor of any changes in my program completion. I understand that requests for extensions of my program will only be approved if they meet the USAID strategic objectives of my program. I understand that if I plan to travel outside of the U.S., I must and will notify my monitoring contractor beforehand, and will provide my IAP66A form for the appropriate authorization required on the pink copy of the form.
- 3. Medical Insurance:** I understand that USAID is not responsible for any costs related to medical care while I am in the U.S. I understand that I will be enrolled in an insurance program which is mandatory for all USAID-sponsored participants, and that I will be covered only for the coverage/limits provided by that health insurance program. I understand that I am responsible for paying the insurance co-payment (if required) and for the prompt filing of medical claims. I understand that medical conditions existing prior to my training sponsorship by USAID are not covered by USAID's insurance program.
- 4. U.S. Income Tax forms/payments:** I understand that I must file U.S. Federal or State tax forms as appropriate, in which the sponsoring USAID office or its contractor may assist me. I understand that it is my responsibility to check with my monitoring contractor to see if tax forms are prepared on my behalf.
- 5. Dependents:** I understand that USAID provides no funds for dependent expenses, and that I must meet USAID requirements regarding dependents, i.e., show that funds are available in a U.S. bank equal to 50% of my monthly

maintenance for each dependent, for each month they are to reside in the U.S., b) my dependents will undergo a medical examination in our home country, c) I will secure medical insurance which includes coverage for pregnancy if appropriate, and d) I will have funds available for the purchase of my dependents round trip tickets. I further understand that, a) my dependents may only travel on a J-2 visa under USAID sponsorship, regardless of the length of their stay in the U.S., b) that cancellation of dependent insurance is grounds for the termination of my USAID-sponsored program, and that c) my dependents may not apply or benefit from any type of U.S. public assistance, i.e., subsidized school lunch programs, public or subsidized housing, or food stamp programs.

6. Allowances: I understand that I may be eligible for certain maintenance allowances, or allowances for other program-related costs, and that the amount of the allowance will be determined by USAID. I understand that I may not accept any outside funds through scholarships, assistantships, or wages, and that if I do receive any financial compensation outside of my USAID allowances, that my monthly maintenance allowance will be reduced accordingly.

7. Termination of a Training Program: USAID reserves the right to terminate the training program of those participants who: a) change their course of study without prior authorization, b) fail in their studies, c) fail to carry a full-time course of study, unless specific arrangements are made with the monitoring contractor, d) conduct themselves in a manner prejudicial to the USAID Program or to the laws of the country of training, e) accept any public welfare funds, f) bring dependents to the country of training without prior USAID approval or violate any of the dependent requirements, g) obtain employment in the United States or other country of training without prior USAID approval, h) are diagnosed as having mental or physical disease, disability or disorder that will unduly delay or prevent successful completion of the training program, or render the participant unlikely to contribute to the home country's development for which the training was designed.

8. Legal Obligations: I understand that USAID will not provide funds for my legal defense, and will assume no responsibility for expenses involved in my owning or operating a motor vehicle, for expenses involving criminal or civil law proceedings related to the operation of a motor vehicle, or for any other civil or criminal action for which I am held responsible for by local, state or Federal authorities. This applies to arrest and detention as well as fines, taxes, legal fees, and lawsuits and medical expenses for injuries sustained as the result of operating a motor vehicle or any other activity.

9. Automobile Ownership: USAID policy prohibits ownership of a vehicle without the prior approval of my sponsoring unit. If I operate a vehicle not owned by me, I do so at my own risk and am personally responsible for:

- (1) Determining and complying with all state and local laws ordinance and requirements of the training facility.
- (2) Obtaining all necessary personal, liability and health and accident insurance, and licenses to meet state and local requirements for the operation of motor vehicle.
- (3) Payment of the cost for medical treatment of injuries sustained as a result of an automobile accident.

If I drive any vehicle while under USAID sponsorship, it will be to my advantage to obtain the maximum personal liability insurance coverage available, to cover possible claims against me should I ever be involved in an automobile accident.

Signed:	Witnessed:
Signature of Participant	Signature of Sponsoring Unit/Mission Official
Date:	Title

NOTE: Form available in English (AID 1381-5), Spanish (AID 1381-6A), Arabic (AID 1381-6B), and French (AID 1381-6C) through MO/RM, 1300 Pennsylvania Ave., Washington, D.C. 20523

DEPENDENT CERTIFICATION

(Please Print or Type)

1. Name of Participant (<i>Mr., Mrs., Ms., Miss</i>) (<i>Last, First, Middle</i>)	2. PIO/P Number	
3. Activity Title	4. Project/Activity Number	
5. Type of Training (<i>Academic, In-Service, etc.</i>)	6. Length of Training (<i>Mos.</i>)	7. Country of Training

8. I hereby request that A.I.D. grant permission for the following dependent members of my family to join me during my training program in _____ for an estimated length of _____ months.

9. Full Name(s) Of Dependents <i>(Attach supplemental sheet, if necessary)</i>	Date Of Birth	Place Of Birth <i>(city and country)</i>	Nationality	Relationship

10. Identify Source and Amount of Funds Available

11. I understand that the following conditions and regulations will apply if permission is granted for the above-named dependents to join me, and that if I violate any of these conditions, my program may be terminated.

1. **A.I.D. is not responsible for travel arrangements, hotel reservations, or any other administrative services or support for my dependents.**
2. **A.I.D. has no financial responsibility for the travel, medical needs, insurance, or maintenance of my dependents, and I will not receive any additional allowances or special programming from A.I.D. because of them.**
3. **A.I.D. will not continue my maintenance allowance beyond the normal termination date of my program if my normal departure date is delayed on account of my dependents.**
4. **My dependents will have no official status and will not accompany me on official visits to training facilities.**
5. **I will provide health insurance for my dependents prior to their departure from their home country.**
6. **I will furnish proof that my dependents are in good physical health.**
7. **I will be responsible for the cost of round trip international travel for all of my dependents.**
8. **I will not permit my dependents to interfere with my program in any way.**
9. **I will not permit any of my dependents to apply for or accept any public welfare funds in the country or local jurisdiction of training.**

Signature of Participant	Date	
Name of A.I.D. Official	Signature	Official Title

(Please read instructions on the reverse of last copy before completing this form.)

AGENCY FOR INTERNATIONAL DEVELOPMENT ACADEMIC ENROLLMENT AND TERM REPORT	1. NAME OF PARTICIPANT	2. DATE
	3. COUNTRY	4. PIO/P NUMBER
5. NAME OF INSTITUTION	6. PROGRAM OFFICER AND AGENCY	

TO BE COMPLETED BY PARTICIPANT

7. MAILING ADDRESS AND TELEPHONE NUMBER	8. ACADEMIC ADVISOR – NAME, TITLE, DEPARTMENT, AND TELEPHONE NUMBER
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9. TYPE OF HOUSING ACCOMMODATION: DORMITORY APARTMENT ROOM

10. COURSES IN WHICH YOU ARE NOW ENROLLED: Starting Date: Ending Date:

COURSE NUMBER	COURSE TITLE	CREDIT UNITS	AUDIT UNITS

11. COURSES COMPLETED LAST TERM: Starting Date: Ending Date:

COURSE NUMBER	COURSE TITLE	CREDIT UNITS	GRADE	AUDIT UNITS

12. TRAINING OR FIELD TRIPS AWAY FROM CAMPUS (*Dates, location, purpose*):

CUMULATIVE GPA

13. PARTICIPANT'S COMMENTS ON ACADEMIC PROBLEMS:

Signature of participant: _____ Date: _____

TO BE COMPLETED BY ACADEMIC ADVISOR

14. DEGREE OBJECTIVE AND MAJOR FIELD	15. EST. DATE OF DEGREE COMPLETION	16. <input type="checkbox"/> SPECIAL STUDENT <input type="checkbox"/> UNDERGRADUATE <input type="checkbox"/> GRADUATE
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17. ACADEMIC ADVISOR'S COMMENTS:

Signature of Academic Advisor: _____ Date: _____

18. COMMENTS BY OIT/RSSA/CONTRACTOR/OTHER:

INSTRUCTIONS

This report is the only regular, official communication between the participant, USAID and the officials in his/her home country. It gives the officials a report of the participant's performance, his/her progress toward the training objective and the approximate time of completion.

All A.I.D. participants are expected to devote full time to their training program. Consistent with good programming, they are expected to complete their objective and return to their job at the earliest possible date.

It is A.I.D. policy that participants not accept employment during their stay in the United States. This insures maximum time for study and attention to their program of instruction.

BLOCKS 1 – 13: TO BE COMPLETED BY PARTICIPANTS.

Please type this report. A copy will be sent to your country and a legible, reproducible copy is desired.

You are to complete blocks 7 through 13 only, sign and submit to your advisor within one week after completion of final registration.

Block 12: Complete if you had training of field trips away from the campus during or between terms: schools visits, conferences, observation tours, practice work, etc.

Block 13: Complete if you had difficulties that have affected your academic progress: language difficulty, low grades,

courses dropped, incompletes made up, etc.

BLOCKS 14: TO BE COMPLETED BY ACADEMIC ADVISOR.

You are requested to complete items 14 through 17 only, sign, retain the first copy and send three copies to the Program Officer indicated in item 6. Additional pages may be attached if needed.

Block 14: Enter degree, if appropriate, and major field.

Block 15: When a reasonably accurate completion date can be determined, please indicate.

Block 17: Comments on relevant factors such as participant's language difficulties, scheduling difficulty, reasons for less than full schedule, attitude, effort, special training needs, leadership ability, etc.

Block 18: Comments by OIT/RSSA/Contractor/Other.

USAID and the participant's government consider your comments to be one of the most important sections of this report. They are interested in the courses he/she takes and the grades he/she receives, but they are also concerned about his/her development. Your comments provide them with information about his/her ability to adjust to change, leadership, attitude, efforts, etc.

E&E PARTICIPANT TRAINING PROGRAM
TRAINING-RELATED GRANTS ACTIVITY

Dear Participant,

Thank you for your interest in the Training-Related Grants Activity. We have received your response to this program's invitation, and we are pleased to present you with this application kit.

The Training-Related Grants Activity is a wonderful opportunity for you to reinforce the skills and knowledge you acquired in your previous E&E training program. More importantly, it should facilitate the accomplishment of one or more goals you envisioned in your Action Plan. We hope that you will take advantage of this opportunity.

Please find enclosed in this application kit the following documents:

1. *Overview*: This document contains general information about the Grants Activity as well as eligibility requirements.
2. *Application Procedures, Selection and Grant Award Process*: This document describes the process of applying and evaluation of applications. It also includes information about the award process such as details on accounting procedures. Finally, it describes the process of evaluating and monitoring the newly funded activity.
3. *Forms and Samples*: A packet containing the general application form as well as examples of required attachments to the application.

Please read these documents carefully. If you have questions about any information included in this kit or about how to complete the application, please contact me at the (implementing contractor's name) office. Since the number of grants available is limited, you are encouraged to submit your application as soon as possible.

Sincerely,

(Implementing Contractor's name)

GRANT APPLICATION PROCEDURES, SELECTION AWARD PROCESS AND MONITORING

WHAT NEEDS TO BE SUBMITTED?

1. **Application Form:** Please answer all questions on Application Form;
2. **Budget:** A detailed budget should be included with the application. Cost-share measures should be accounted for in the budget. In cases where the amount requested from the grant is part of a greater total cost of the activity projected, please include in the budget the total cost of the activity as well as the amount requested. (Please refer to the enclosed sample budget.)
3. **Action Plans:** Please submit an updated action plan. The grant should be aimed at funding one of the goals in the action plan. The grant should also be aimed at funding an improvement related to the TRANSIT training. Please refer to the enclosed sample action plan for a preferred format.
4. **Timeline:** A timeline with the projected implementation of the activity should be submitted. The timeline should include start and end dates for the entire implementation (not to exceed a one year span) as well as intermediary steps and dates. This timeline may also be useful in determining when and how much money is applied at various stages of the activity.
5. **Miscellaneous:** Please submit any additional documents that may describe what the grant will fund (i.e. conference brochures and agendas, course outlines, brochures for goods and services, pro-forma invoices of materials, etc.).

All documents should be sent to the following address:

(Implementing Contractor's Name and Address)

TRANSIT Training-Related Grant Activity applications will be accepted in a "rolling-admission" basis. Applications will be accepted year-round. Please allow at least one month for the applications' consideration before the start date of the activity. It should take one week after the receipt of the application to perform a preliminary review. This time will be spent to determine if the application is correctly submitted and complete. In cases when additional information is needed, (implementing contractor) will contact the applicant. If the application is complete and correctly filled-out, it will be evaluated by a Grant Selection Committee headed by USAID. This evaluation should take approximately three weeks. All applicants will be notified of their success or failure.

HOW ARE GRANTS AWARDED? HOW ARE FUNDS DISBURSED?

Successful applicants will receive a Grant Agreement letter shortly after approval. Along with the letter will be any additional information regarding the implementation and completion of the activity (i.e. a sample final report expected from the applicant upon completion of the activity). The Grant Agreement letter is to be studied and signed by the applicant, then returned to the (implementing contractor) office. Upon receipt of the Grant Agreement, typically 50% of the funds can be disbursed. More specific and further arrangements for the disbursement will be determined on a case-to-case basis.

The grants are awarded to the participant's organization (or in some cases to the individual representing an organization), with the understanding that the participant will be the main person involved in carrying out the grant activities and the timely procurement of whatever goods and services were agreed upon in the grant.

HOW WILL THE ACTIVITY BE MONITORED AND EVALUATED?

(Implementing contractor) will periodically monitor the progress of the activity implementation. Evaluations of the activity will be made by comparing the applications' objectives, budgets and timelines to the progress and results of the activity.

Upon completion of the activity, the organization should present to (implementing contractor):

1. A final report consisting of a technical narrative (a sample report format will be provided);
2. A financial summary, including receipts when required. The format should follow the original budget format, and add two columns: one for actual expenditures and one for variance. Higher than expected expenditures is not an invitation for grantees to request additional funds.

SAMPLE TRANSIT TRAINING-RELATED GRANT ACTIVITY FINAL REPORT FORMAT

1. What activity was financed? Describe the workshop, or how the funded commodity was put into use. Describe how successful it was. Attach any brochures, newsletter reports, newspaper clippings or other descriptive documents to enhance the description.
2. How did we spend the money? What was the contribution of the TRANSIT grant funds to the activity described? How much of the overall cost was covered by the TRANSIT activity?
3. Because of the activity or commodity financed by the grant, what was made possible further up the results chain (see attached)? Try to estimate the importance of the TRANSIT grant to the success of the activity. Describe any unplanned-for results.

E&E PARTICIPANT TRAINING PROGRAM

TRAINING-RELATED GRANTS ACTIVITY

GRANT APPLICATION FORM

THE ORGANIZATION

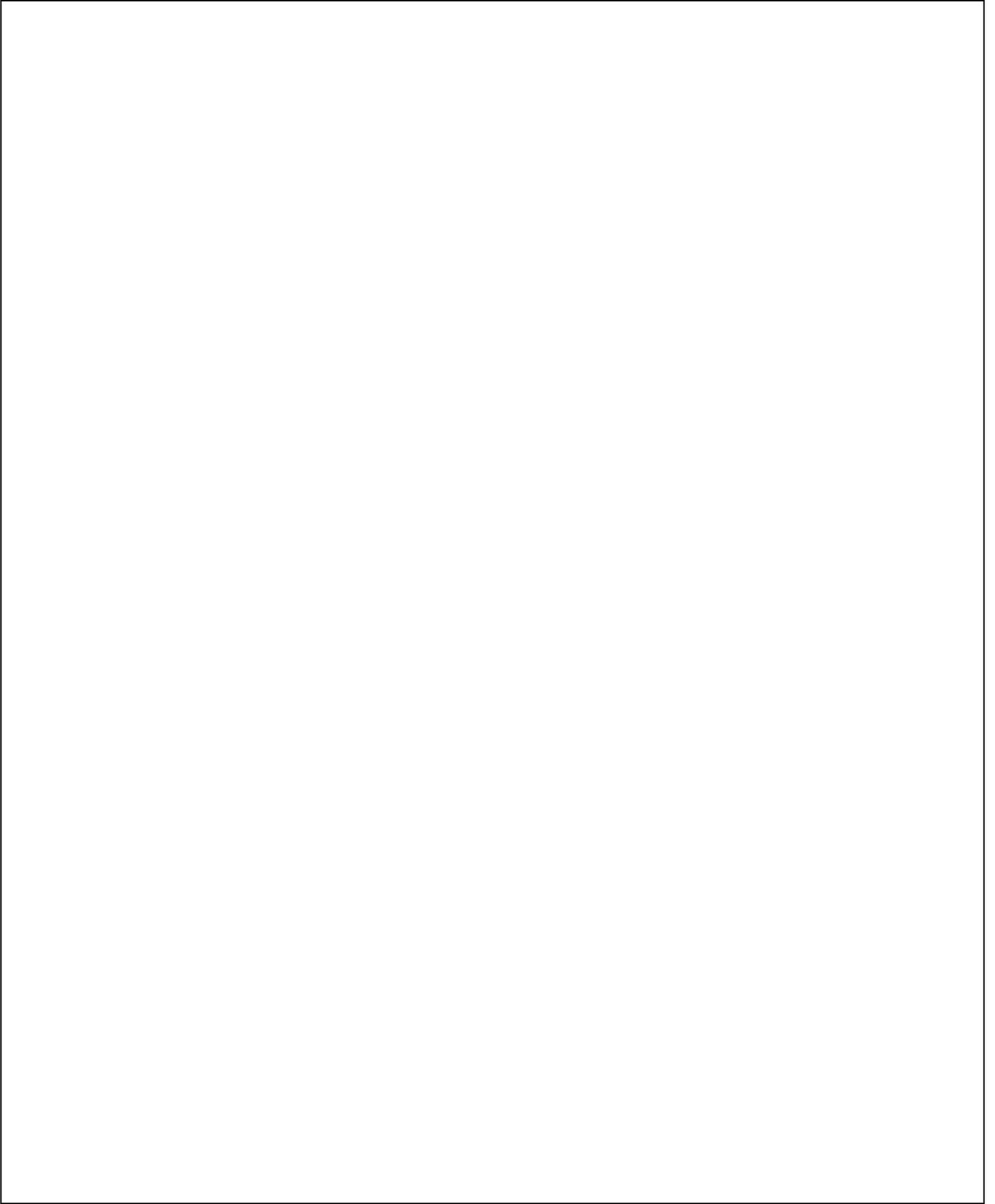
1. What is the name of the organization and work unit requesting support:
2. What is the name of person submitting application:
3. Will the funds be disbursed to the organization or to the individual?
4. How will the organization or work unit benefit from the grant?

PREVIOUS TRAINING and CURRENT ISSUE TO BE ADDRESSED

5. What previous E&E Participant Training Program did applicant attend (Please include program dates):
6. Considering the action plan that followed the training, what progress has been made?
7. What needs to be done to realize the action plan?

USE OF GRANT FUNDS

8. What is the title of the project?
9. What are the objectives of the project?
10. What specific activities or products will fund? (If grant supports a portion of a larger project, please describe the whole project)



11. When will the project start and end?
12. Where will the project be located?
13. Who will provide goods or services to be funded or purchased?
14. How many and who will participate?
15. What is the total cost of the project?
16. What amount is requested for the Training-Related Grants Activity?
17. What type and value of resources will be contributed by the organization and/or its partners:
(cost sharing)

ATTACHMENTS

18. Budget (sample attached)
19. Current Participant Action Plan (sample attached)
20. Timeline (sample attached)
21. Miscellaneous: Agendas for conferences; course outlines; brochures for goods or services; proforma invoices for materials (anything which helps to describe what the grant will fund and the cost bases used in the budget)

APPLICANT SIGNATURES

Person requesting the grant Date

Representative of Organization Date

