PARTICIPANT TRAINING PRACTITIONER'S MANUAL 12/2011

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INTRODUCTION

The Participant Training Practitioner's Manual (PTPM) was developed by the Bureau for Economic Growth, Agriculture and Trade (EGAT) as a management tool to help USAID integrate Participant Training and related activities into its development assistance programs. Participant training is a learning activity that aims to transfer knowledge, skills and information by way of classroom instruction, and specific objectives. We are pleased to share it with USAID Missions, bureaus and implementing partners. It is intended as a complement to, but not a substitute for, Automated Directives Systems (ADS) 252 and 253, entitled Visa Compliance for Exchange Visitors and Participant Training for Capacity Development, respectively.

USAID sponsored training for more than two million participants in 2010; the numbers have been similar over the last several years. Participant training has been used in nearly all sectors including agriculture, education, and public health. The training is implemented under Mission or centrally managed training implementation contracts, grants, cooperative agreements and technical assistance contracts.

We believe this resource guide can be useful to all Missions regardless of the amount of training they fund, the location of the training, or the choice of implementing mechanism. Thus, the term "implementer" or "implementing partner" used throughout this document is inclusive of all of the various mechanisms under which training takes place.

The organization of contents in this document approximates the sequence of actions that occur in the process of conceptualizing and implementing training and capacity building events. Several templates and forms previously used by Missions in the E&E region are included in the Appendices as illustrative aids that might have value for Missions in other regions.

As with all of our management tools and technical assistance, we appreciate comments and feedback from the users.

BACKGROUND

USAID has historically made large investments in participant training, each year supporting the training of millions of Host Country Residents and Nationals in USAID presence or priority countries worldwide.

Automated Directives System (ADS) Chapter 253 defines Participant Training as:

- ✓ A learning activity involving participants taking place in the U.S., a third country, or in-country in a setting predominantly intended for teaching or imparting certain knowledge and information to the Participants with formally designated instructors or lead persons, learning objectives, and outcomes, conducted fulltime or intermittently.

✓ The transfer of knowledge, skills, or attitudes (KSAs) through structured learning and follow-up activities, or through less structured means, to solve problems or fill identified performance gaps. Training can consist of long-term academic degree programs, short- or long-term non-degree technical courses in academic or in other settings, non-academic seminars, workshops, conferences, on-the-job learning experiences, observational study tours, or distance learning exercises or interventions.

EGAT/ED supports the integration of targeted, results-oriented participant training interventions into Missions' portfolios across all regions and sectors. This is done through developing and managing training implementation mechanisms, conducting training workshops, compiling and sharing best practices guides, toolkits, and providing on-site and virtual technical leadership and assistance. Drawing upon staff expertise and research findings, EGAT/ED also assists Missions with strategic planning, Scopes of Work, training designs, program monitoring, evaluation, follow up, and related services that contribute to the achievement of assistance objectives through the enhanced skills, knowledge, and attitudes of host country nationals in their professional or work settings.

During the strategic planning cycle Sponsoring Units set forth broad objectives and map the way forward to achieve them, including the use of Participant Training and other capacity development interventions.

WHEN SHOULD PARTICIPANT TRAINING BE IMPLEMENTED?

Most performance improvement experts recognize at least six factors that affect performance in any organization or work place, as shown in the Updated Behavior Engineering Model on the next page.

Participant Training is effective in addressing performance gaps related to *knowledge and skills.* Participant training is most effective when it is conceptualized, designed and carried out within the context of a broader institutional performance improvement agenda. When an institution's performance gap is attributable to insufficient or outdated Knowledge and Skills, then training is the appropriate intervention.

If the performance gap is due to factors other than Knowledge and Skills, then other types of interventions should be considered. If expected outcomes related to other performance factors are desired, then other types of technical assistance interventions may also be considered and the participant training concept, design, or request may need to be revised or reconsidered.

Behavior Engineering Model		
INFORMATION **1.** Roles and performance expectations are clearly defined; employees are given relevant and frequent feedback about the adequacy of performance. **2.** Clear and relevant guides are used to describe the work process. **3.** The performance management system guides employee performance and development.	**RESOURCES** **1.** Materials, tools and time needed to do the job are present. **2.** Processes and procedures are clearly defined and enhance individual performance if followed. **3.** Overall physical and psychological work environment contributes to improved performance; work conditions are safe, clean, organized, and conducive to performance.	**INCENTIVES** **1.** Financial and non-financial incentives are present; measurement and reward systems reinforce positive performance. **2.** Jobs are enriched to allow for fulfillment of employee needs. **3**. Overall work environment is positive, where employees believe they have an opportunity to succeed; career development opportunities are present.
KNOWLEDGE/SKILLS **1.** Employees have the necessary knowledge, experience and skills to do the desired behaviors. **2.** Employees with the necessary knowledge, experience and skills are properly placed to use and share what they know. **3.** Employees are cross-trained to understand each other's roles.	**CAPACITY** **1.** Employees have the capacity to learn and do what is needed to perform successfully. **2.** Employees are recruited and selected to match the realities of the work situation. **3.** Employees are free of emotional limitations that would interfere with their performance.	**MOTIVES** **1.** Motives of employees are aligned with the work and the work environment. **2.** Employees desire to perform the required jobs. **3.** Employees are recruited and selected to match the realities of the work situation.

By reviewing participant training concepts, designs, and requests in the context of the six universally accepted human performance factors, Missions and their Participant Training (PT) implementers can help ensure the appropriate use of participant training as an intervention.

Lead Time

Appropriate lead-time must be factored into the planning cycle. Experience has shown that twelve weeks is the minimum lead-time for planning implementation of U.S.-based and third country short-term training or other short-term interventions. The minimum twelve-week lead-time applies regardless of the type of short-term training, (be it a tailored program, conference, or seminar), the number of participants or the type of implementation mechanism.

For long-term academic training the required lead time may be substantially more than twelve weeks to allow for TOEFL enrollment, administration and results reporting (for U.S.-based training), and to accommodate U.S. or third country universities' established timelines for other admissions–related actions. Lead time for implementing in-country training is location-specific and is best determined by the respective Missions.

Observing the lead-time requirement is essential for carrying out a sound training program. Appropriate lead time allows participants to develop the language and other skills needed to participate fully in the training, allows for proper visa processing, and allows the Mission and training implementers the opportunity to thoroughly review the training implementation plan to ensure full preparation of the participants and engagement with other stakeholders. Missions may choose to establish longer lead times based on local realities, and should specify the minimum lead-time in their Mission Order for Participant Training.

PARTICIPANT TRAINING IMPLEMENTATION

Missions and bureaus decide which, among the various types of implementing mechanisms best suit their needs. As a common practice, missions might fund training under a cooperative agreement, or a technical assistance contract, or they could procure the services of a mission or centrally managed training implementation contractor. Training events may include: specially tailored, short-term courses, workshops or study tours, long-term academic training, training-related small grants and training-related technical assistance. Participants may be mid-level or high-level managers or other professionals from the public and private sectors, and the training may be conducted in the U.S., in third countries, or in-country, depending on the goals of the intervention and the most efficient, results-oriented, cost-effective manner.

In addition to training, other interventions might include training-related small grants that are typically capped at $10,000. The grant is awarded and administered primarily to fund participant training grantee initiatives or to enable the implementation of a participant's (or group's) action plan. The menu of interventions might also include training-related technical assistance that is individually designed and sector-specific.

The section immediately following outlines critical steps and proposes best practices for implementing training and related interventions. The guidance is recommended for all USAID training, regardless of the implementation mode. It is expected that Missions and bureaus will establish additional procedures and processes based on their local circumstances.

The series of actions included in the participant training planning cycle generally evolve from an identified need for performance change. It is common to couple training with other types of interventions.

Assessment and Analysis of Training Needs

Once it is determined that Participant Training is the appropriate intervention to fill a performance gap, the logical next step is a needs assessment and analysis at the program level. The needs assessment is a systematic inquiry for the purpose of identifying priorities, making decisions, and allocating finite resources in a manner that is consistent with mission goals and objectives.

Sponsoring Units and implementing partners conduct a needs assessment to get a sharper inventory of the skills and knowledge of a selected partner organization, and identify knowledge gaps at the individual level that impact the organization's performance. A sample needs assessment can be found in the Appendices. The assessment answers questions such as: what performance behaviors are required in order to achieve or contribute to the achievement of Mission objectives, what are the job-related needs, what knowledge and skills exist within the organization, what are the gaps between existing and needed knowledge and skills.

The Mission Training Plan

Although not mandatory, Missions are strongly encouraged to develop a Participant Training Plan. The Participant Training Plan is a resource that is developed on an annual basis and updated as frequently as needed to compile and describe all of the training and related interventions that the Mission expects to sponsor during the year, and that would otherwise be disaggregated in separate Assistance Objectives Teams' plans or Bureau strategy plans. A composite training plan includes estimated spending levels for Participant Training and related interventions projected for the current fiscal year or longer, if multiple year information is available. It establishes a basis for allocating or setting aside funding for these activities and may discuss criteria for carrying over Participant Training funds from one year to the next, depending on the scope and success of each Participant Training intervention. Preparing the Training Plan is a thoughtful and strategic exercise that focuses attention on the expected results of the mission's investments. It may be developed by the mission or jointly by the Mission's technical teams and the implementer.

The Training Plan is comprised of three components that can be adapted based on needs and preferences of the Mission:

- **Component 1 - The Executive Summary**
  This component describes how participant training and related interventions fit into the USAID country strategy.

- **Component 2 – The Summary Table**
  This component includes financial data and planning cycle information on all of the projected Participant Training and related interventions. The summary table is divided into two parts:

  Part 1 – Participant Training and Related Interventions - delineates Participant Training and related interventions to be funded by the Mission during the year. These may include:
    - Short-term training
    - Entrepreneurial Management Training
    - Academic Education
    - Small grants
    - Technical assistance
    - Other activities

  Part 2 – delineates a framework for Special Activities, if any. This part might be especially useful for Missions in conflict, post-conflict or critical priority countries that might need to sponsor opportunistic programs or programs that address USG priorities that are not readily linked to a specific Assistance Objective of the mission.

- **Component 3 – Intervention Request Forms**
  This component is a compilation of all Participant Training and related intervention request forms. It is organized into two parts as follows:

  > Part 1 – Participant Training and Related Interventions. Part 1 is a compilation of Participant Training and related intervention request forms (TIRF). These forms may be organized by Assistance Objective, Sector, or other logical grouping of relevance to the Mission.

  > Part 2 – Special Activities. Part 2 is a compilation of request forms that address unique situations in conflict, post-conflict and critical priority countries, or regional training and capacity building events that have unique accounting requirements (Example: The Paris Declaration).

The Training Plan enables Missions to map and budget for all Participant Training, related interventions, and activities sponsored by any technical office or sector under any implementing mechanism (contracts, cooperative agreements, grants, etc.). It puts the information described above into one comprehensive document with references to the Mission strategy that can be used for monitoring, management decision-making, scheduling workloads, coordination, and developing synergies among implementers and reporting purposes.

Participant Training Plan Component 1: Executive Summary

I. Mission Context for Participant Training and Related Interventions
In no more than three paragraphs:
- Describe how Participant Training fits into the USAID Country Development Cooperation Strategy (CDCS) as well as into AO, IR, and program activity goals
- Outline the key elements of the country strategy for this period
- Explain the plan as a work-in-progress that is likely to change over the period

II. Participant Training and Related Interventions: Short-Term Training, Long-Term Training and Academic Education, Small Grants, and Technical Assistance
Overview:
In no more than two paragraphs, describe:
- Purpose of the training activities and other interventions
- Number of proposed programs, with the caveat of funding availability
- How the programs will be managed

Summary of Programs by Sector or Technical Area:
By sector, describe the number, purpose, and venue of training programs

Small Grants:
If applicable, describe the purpose of Small Grants, and the estimated funding available

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

Training Design for Results

The training design is basically an outline of all of the "what, where, who, when and how" details of the training. To the extent feasible, Sponsoring Units and implementers should ensure that: training links up with the mission's objectives; evaluation is considered from the start; expectations and results are clearly evident. The design should describe the status quo as baseline and include the basis for post-training evaluation. Best practices for training results acknowledge five primary components of the design:

Learning outcomes: What will participants be able to do, or do better, faster, or more efficiently as a result of completing the training? (Should be stated in behavioral terms).

Training Materials: What materials need to be developed and what will the materials include?

Subject Matter and Training Experts: Who has the subject matter expertise to develop the content and who has the expertise to facilitate the training? (These are often two different skill sets)

Training Methods: What methodology will be used to help the participants meet the learning objectives and grasp the content most effectively?

Logistics: Where and when will the training take place?

Five other design considerations that enhance training results:
1) Select training components (including pre-training, primary event and post-training activities) that are appropriate to the participants' and institutions' needs, the desired results, and the workplace environment.
2) Ensure that the design enhances the participants' understanding of the specific purpose and higher level objectives of the training. The design should include provisions for the participants to identify both personal and workplace benefits and application of the training. (This can be done in an Action Plan, or otherwise).
3) Involve local stakeholders in the planning, development and implementation of the training, as feasible to increase local capacity for sustainable solutions to development objectives.
4) Use a "total learning experience" approach in the training design, and enhance technical training with complementary components to promote leadership, train-the-trainer, etc., to facilitate the transfer of learning.
5) Build in post training follow up and promote continued self-learning.

Training Intervention Request Form (TIRF)

Although not mandatory, Activity Managers or technical offices may find it convenient to use the TIRF to ensure that all of the relevant components are included in the training design. The TIRF guides the drafter through the necessary elements that make up a sound and well-developed participant training event. It ties the training intervention to the Mission's AO framework by presenting the intended post-training results and outcomes, the skills to be acquired, and any follow-on activity. Estimated costs for the intervention are also to be included. The TIRF can record other information such as participant selection criteria, venue, English language verification, and suggested training provider. The TIRF might be an especially useful tool when the lines between training and technical assistance could otherwise become obscured. When the TIRF is used, the Mission decides its own internal approval process. When all required approvals are received, the training implementation contractor may begin to commit to, or incur costs.

Training Implementation Plan (TIP)

While not mandatory, the Training Implementation Plan (TIP) is another useful tool to describe the training implementation contractor's detailed training intervention design prepared in response to the performance gap. The TIP, as a companion to the TIRF, covers each segment of the training intervention, including relationships of training components to assistance 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 estimate. Required elements of a TIP are as follows:
- Name of program
- Names of participants
- Name of training provider
- Language of training and interpreter details
- Training subject
- Training dates;
- Program objectives
- Itinerary, including
- Day-to-day course description
- Training methodologies (if applicable)
- Logistical arrangements, (including travel and lodging with corresponding daily costs)
- Budget worksheet

The TIP, including training cost, is to be approved and signed by the Mission. For multi-Mission interventions it is advisable that a TIP be executed for each participating Mission.

Participant Eligibility and Selection

Careful attention to the selection of participants is critical to achieving a successful outcome. Appropriate selection results in a program with highly motivated participants, who have relevant qualifications, perform well, complete the training on time, benefit from the training, and, most importantly, are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection goes a long way to ensuring both cost containment and program impact. If the Mission is applying the Human and Institutional Capacity Development (HICD) approach, candidates are likely to be identified and selected as an outcome of the HICD Performance Assessment. In certain instances when long-term training is involved, Sponsoring Units may find it beneficial to screen candidates through a Selection Committee comprised of Mission, host-country, and private sector officials who are all stakeholders in the training program. Agency-wide participant eligibility requirements can be found in both ADS 252 and ADS 253.[1]

a. USAID Grantee or Cooperative Agreement Recipient Staff

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

b. USAID Contractor Staff

USAID prime and sub-contractor staff and members of their family may not be selected as USAID sponsored participants and are therefore not eligible to take part in training activities as participants. Contractors may, however, attend group training programs as observers if they fund their own attendance and do not use the training implementation contractor for any logistical assistance. The presence of staff from a partner's project is often desirable because this helps the respective partner to work with stakeholders after training to implement practices observed and discussed during training. Such observers must be included in pre-departure orientation discussions so that their roles are clearly defined to the entire group. This approach will ensure that observers understand how the program is organized and lessens the chance that the observers might disrupt the program by interjecting changes to the schedule or other aspects of the program.

Please note that observers may not travel on a J-1 visa when traveling to the U.S. and they are not eligible for USAID funded health and accident insurance.

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[1] The Foreign Assistance Act of 1961 § 660(a) generally prohibits USAID from funding police training. There are exceptions to this prohibition contained in the 2005 FOAA and continued in the 2006 FOAA, as well as in other authorizing legislation that allows certain assistance to policing forces under certain circumstances and within certain parameters. Sponsoring units should consult with their regional legal advisor or Cognizant Office of the General Counsel when developing programs in this area. For further guidance on providing assistance to foreign policing authorities, please see "Assistance for Civilian Policing: USAID Policy Guidance, December 2005."

Language Proficiency Determination

For J-visa eligibility and for accountability of resources, the Mission and its Participant Training implementation contractor, technical assistance contractor, or other training implementer must ensure that participants and exchange visitors are sufficiently proficient in the English language to fully participate in their training programs before they enter the U.S. Missions establish their criteria for determining English proficiency, and in some cases they might choose to administer an English language test. The criteria should be included in the Mission Orders for Training. As a good practice, Sponsoring Units and training implementers might direct U.S. based training candidates to no-cost or low-cost online resources for English language study; names and links to some potentially promising web based English programs are included in the Appendix.

The Mission and its training implementation contractors must verify that all participants and exchange visitors are able to understand and respond correctly to typical questions asked at the U.S. port of entry including all of the following sample questions that are indicative of what an immigration officer might ask our participants:

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

As a good practice, Missions and implementing contractors should encourage Participants to keep a copy of their Training Plan or a USAID issued letter of introduction (printed on official stationary) with their travel documents.

Use of Interpreters

In some instances the use of interpreters may be advisable to ensure the effectiveness and highest quality of the training intervention. However, the use of interpreters does not negate the J-1 visa eligibility requirement for language proficiency determination that participants know English well enough to participate effectively in the training intervention before they enter the U.S. Sponsoring Units are reminded that the external requirement for English language proficiency for U.S. based programs cannot be waived by USAID.

Sponsoring Units and implementers should also establish procedures to determine that participants are proficient in the language of training for third country-based programs.

Selecting the Training Venue

Selection of the appropriate venue for training is based on several important decisions, most importantly, how best to achieve the program objectives at a reasonable cost. When selecting the training venue, 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 of training provided refers specifically to the outcome, the impact, and the useful results. At a project level, there are three parameters to balance: quality (outcomes of intervention as they relate to Mission objective), quantity (number of participants trained), and cost (both intervention costs and overall project costs).

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

Third country training (TCT) generally offers the potential content benefits that include a focus on the theory of a regional country model due to political or economic similarities and a focus on the learned experience of transition. TCT offers the potential program management benefit of shared coordination between the training implementer's or technical assistance contractor's home and field offices and the training provider/logistics provider. Management concerns include ensuring compliance with third country visa requirements.

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

Selecting the Training Provider

Note: This section, ending in "Sole Source Justification" applies more to tailored group programs than to technical programs for an individual participant.

Selecting the most appropriate training provider is a thoughtful and considered action, regardless of the type of training. For specially tailored individual or group programs, it takes special effort to find the

right mix of subject matter expertise, methodology, cultural sensitivity, management capability and cost efficiency in a single entity. Training provider services may be procured in three ways: competitive procurement, non-competitive procurement, and sole source procurement. Of the three, competitive procurement is generally suggested as a good practice, if feasible.

As a good practice, the training implementers should invite training providers to submit proposals that detail their institutional capabilities and experience. Pre-screened training providers that meet the requirements for potential consideration might be retained in the training implementer's database, as applicable.

Mode of Procurement for Training Provider Services

In accordance with USAID Office of Acquisition and Assistance directives and in coordination with the Mission, training implementation contractors, technical assistance contractors and other implementers must determine the mode of procurement (competitive, non-competitive, or sole source) of training provider services. Competition is a good practice, however there will be specific instances when competitive solicitation will not be required and interventions can be awarded to training providers non-competitively. Where it has been determined by USAID that training provider services for an intervention will not be competitively procured, a written justification for non-competitive or sole source procurement must be maintained in the program files. It is a good practice to also attach a copy of the justification with the TIRF, if used.

In general, training implementation contractors obtain training proposals from multiple training providers regardless of whether the procurement for the intervention is competitive, non-competitive or sole-source. The training implementation contractor is responsible for ensuring the quality of all training and therefore must be in a position to negotiate with and provide technical training guidance to the training provider through the proposal review process. Training conducted under technical assistance mechanisms may also benefit from following these best practices in procurement. Grantees and cooperative agreement partners are guided by the terms of their awards.

a) **Competitive Procurement**

Training implementation contractors and technical assistance contractors are encouraged to competitively solicit for training services to carry out tailored U.S. training interventions, including group study tours. Competition can result in a better product for USAID's investments. If the selection is through limited competition, the training implementation and technical assistance contractor should contact at least three 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 and approved by USAID's Office of Acquisition and Assistance. Documentation of the interaction should be retained in the training implementation/technical assistance contractor's program files.

b) Non-competitive Procurement

There will be specific instances when competitive solicitation will not be required, and interventions may be awarded to training providers non-competitively.

The criteria for non-competitive procurement include the following:

- The training activity is advertised with a published cost per participant and specified dates of delivery. This is the standard off-the-shelf program.
- The training activity requested by the 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 would therefore decline because the development costs were captured in the original award.
- The training activity is based on participant involvement in technical assistance programs. The training will further support an established relationship between participants and the provider of technical assistance. Shifting to a different provider would weaken the training and the relationship with the technical assistance provider.
- 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. It should be noted that free training does not necessarily mean quality training.

For all non-competitive procurements, the training implementation or technical assistance contractor 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 training implementer 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 program files and the TIRF, if used.

c) Sole Source Procurement

In instances where the Mission and implementer determine that the training provider services for an intervention will not be competitively procured, and the circumstances of the award do not meet the criteria specified for a non-competitive procurement, appropriate documentation must be retained in the Mission's and implementer's files.

Procurement Documentation

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

a) **Recommendation and Selection Memo**

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

All proposals (not just the recommended one) should be made available for the USAID project officer's/AO Team's review. It is not necessary that the least expensive bid be chosen, but the program with the best value to USAID should be selected.

Ultimately, the USAID Mission retains the option of selecting or approving the training provider.

b) **Sole Source Justification**

In those instances where the Mission has requested sole source procurement with a specific training provider, the training implementation contractor will prepare, appropriate documentation for the sole source procurement using justification provided by the Mission. Such documentation must be included in the TIRF, if used, or a similar document. If Mission approval has not been obtained through the TIRF, a separate sole source justification memo is required.

Cost Considerations

Participant training cost data is required to help Missions determine cost reasonableness within the context of finite resources and fluctuating currency rates. When planning U.S., third country and in-country training, implementing contractors are encouraged to explore the use of communication technology to the fullest extent feasible, as a cost saving measure. Costs for individual programs will generally be higher than the cost for a group training event. Thus, coordination with and between technical offices, mapping common objectives, and allowing flexibility of training dates are suggested as a promising practice for containing cost of group training events.

For long-term academic degree programs in the U.S., sponsoring units must ensure that implementers observe the general caps on total tuition and administrative fees as detailed in ADS 253.3.7.1. Budget estimates should be developed early in the process when planning for short-term and long-term programs. The budget estimates should be reported in TraiNet as an interim step and then must be updated in TraiNet when the training event is completed.

Implementers are encouraged to use the attached Budget Worksheet to calculate total training costs. It includes typical cost elements and provides a common base for all implementers involved in participant training and exchange visitor programs. The Budget Worksheet should be retained by the implementer as a reference in the event of an audit, and a copy should be shared with the Sponsoring Unit Contracting Officer's Representative (COR) or AOR.

USAID Budget Worksheet			
9/28/2011			
Contractor / Implementer:		USAID Mission or AID/W Sponsoring Unit:	
Name of Program:	**Venue**: IC/TCT/US	**Type** (Long-/Short -term**)** **Start/End Dates**:	
1. Cost Items	**2. Budgeted Amount**	**3. Actual USAID Cost**	**4. Non-USAID Cost Share**
Instructional Costs, (Include published tuition and fees, books and materials, equipment, supplies, Internet access fees, thesis/ dissertation expenses, seminar/ conference/workshop registration fees; professional society membership fees; professional journal and media subscriptions (specify); tutors, interpreter; book shipment; supplemental enrichment program; and other expenses)			
Participant Costs (Include maintenance allowances and per diem; health and accident insurance coverage; medical examination fees; visa or exchange visitor status fees, if any; other)			
Travel (**Participants only)** (include international travel costs (air, train, bus); travel to training site; travel to approved professional conferences; taxi, car; other.			
Subtotal			
Contractor's Administrative Costs* (Include salaries, fringe benefits, travel, consultant fees, equipment, sub-contracts, indirect costs)			
Subtotal			
TOTAL			
***Administrative Costs**: A prorated amount of the contractor's /implementer's overall direct and indirect cost that is associated with implementation of the training program in reference.			

1. **Cost Items:** Includes all of the line items that have an identifiable or associated budget implication.
2. **Budgeted Amount:** Includes the Implementer's best *pre-training* calculation of the total program cost based on the training objective, training provider's input, published or negotiated instructional costs and other authorized program requirements, and USAID ADS 253 allowance structure.
3. **Actual Cost to USAID:** Includes post-training adjustments (plus/minus) to the originally budgeted costs.
4. **Non-USAID Costs**: Costs shared by the Employer, the Participant, Training Provider/University, or other entity, including airline fare, health examination fees, continued payment of salary during training period, instructional costs, tuition/fee waivers, home stays, etc.

ADMINISTRATIVE AND PROGRAM SUPPORT

J-1 Visa and Logistical Support

When procuring services of Participant Training implementers, Missions may find it advantageous to request a comprehensive package of services, including verification that participants meet selection criteria, confirming accuracy of documents submitted as part of the application process, and assistance with documentation related to the Security Risk and Fraud Inquiry process (SRFI) as specified by each Mission, and in accordance with ADS 252 and other agency directives. The Mission is ultimately responsible for conducting the SRFI. Participant Training Implementers can also advise participants about the visa application process (see http://travel.state.gov/visa/visa_1750.htm), health and accident insurance (HAC) enrollment, determining English language proficiency, and conducting pre-departure orientation.

In accordance with Departments of State and Homeland Security regulations and USAID policy, participants and exchange visitors must enter the U.S. on a J-1 visa (non-immigrant exchange visitor visa) processed under USAID authority. A Certificate of Eligibility Form DS-2019, and other supporting documents, must be submitted to the U.S. consulate in order to apply for a J-1 visa. See ADS 252 for exceptions to the J-1 Visa requirement.

Managing TraiNet Requirements

 To maintain consistency and help Missions meet their obligations, implementers (implementation contractors, technical assistance contractors, grantees, cooperative agreement partners) must enter all training, participant and program data into TraiNet. In cases where a mission is not funding training through an implementer, the Mission will need dedicated in-house staff to carry out the TraiNet data entry function. TraiNet is the single source of all data necessary for obtaining a DS-2019 form for participant training / exchange visitor activities that take place in the U.S. All required information about the prospective participant must be entered into TraiNet at least thee weeks in advance of the planned travel date. In many cases the lead time requirement for getting interview dates with consulates is considerably longer than three weeks. See ADS 252.

Agency policies, as well as supporting procedures and systems for obtaining a DS-2019 form highlight requirements of the Student and Exchange Visitor Information System (SEVIS). As a best practice the Sponsoring Unit should include the full-range of support related to USAID visa compliance for participant training and exchange visitor's program activities in the training implementer's contract.

Once entered into TraiNet, all data necessary for obtaining a DS-2019 form must be verified by the TraiNet operator's (R-1 Initiator's) supervisor, using the USAID Visa Compliance System (VCS). See ADS 252.

Sponsoring Units and implementers must report data in TraiNet for third country, regional and in-country training, although the required data is less extensive than for U.S.-based training, and the data can be reported after the training event is completed. See ADS 253.

Pre-Departure Orientation and Preparation

Pre-departure orientation and pre-training preparation are an integral component of participant processing. Missions and implementers might find it expedient and cost efficient to conduct part of the pre-departure orientation *(information about the location of training, for example)* and pre-training preparation via social media, although this does not substitute for a face-to-face meeting. Sponsoring units or designated implementers must meet with U.S. bound participants prior to departure to provide orientation on the travel schedule, the goals of the activity, administrative details, and American culture and practices. Appropriate pre-departure orientation and preparation is required for all USAID-sponsored participants in U.S.-based training, as a J-visa eligibility requirement.   A comprehensive pre-departure orientation guide is available for use by Missions and implementing contractors. It is strongly recommended as the standard resource for conducting pre-departure orientations.
http://trainethelp.usaid.gov/Documents/rawmedia_repository/pre-departure.pdf

Before departure, each participant must also read and sign a Conditions of Sponsorship Form for J-1 Visa Holders (USAID Form 1381-6), (http://www.usaid.gov/forms/a1381-6.doc) provided by the Mission or training implementation contractor. The essential terms are listed in ADS 252 (http://www.usaid.gov/policy/ads/200/252.pdf) and ADS 253, http://www.usaid.gov/policy/ads/200/253.pdf).

Pre-departure orientation is also required for third country training, and must include time for participants to read, understand and sign the Conditions of Sponsorship for Third Country Training (AID form 1381-7, http://www.usaid.gov/forms/a1381-7.doc

During pre-departure orientation and pre-training preparation Sponsoring Units and implementers are strongly encouraged to inform participants and exchange visitors of their option to register with the USAID Alumni organization via this website **https://alumni.state.gov/usaid. U**SAID alumni form networks, exchange experiences about applying their training to help achieve development objectives, and are able to explore various opportunities available to them.   USAID anticipates that alumni affiliations will help to track training results and impact.

Objective Memorandum

As a best practice, before departure each participant should sign an Objectives Memo that is prepared and provided by the training implementation contractor. The memo outlines what the training program is intended to achieve. It is important for participants to acknowledge in writing all program goals and

objectives. Participants should feel that they are committed to doing their part in attaining the best results from the activity. The objectives memo may be used in lieu of the stakeholder agreement.

Participant Action Plan

Action Plans are highly recommended for participant training particularly for long-term programs. Action planning is a key element in motivating participants to think about how the knowledge and skills acquired through their training will be used in the workplace when they return to their home country. Developed with input from the training provider and other stakeholders over the course of the training intervention, action plans help establish clear goals and anticipated application. A preliminary action plan should be initiated before the participants' departure, with the understanding that other components of the plan will evolve during the course of training.

In some instances, an action plan is not appropriate. If the U.S. training intervention is five days or less or is a conference involving multiple participants with whom the training implementation contractor does not have personal contact, then an action plan is neither feasible nor encouraged.

Travel and Lodging Guidelines

Travel Guidelines

In some instances USAID and the host country have agreements that the host country or other non-USAID funding source(s) will pay the cost of round-trip international travel and home country travel to and from the point of departure, or other incidental costs. If such agreements exist, USAID sponsoring units may wish to obtain either a country-wide or a program-specific waiver to allow USAID funding for these arrangements. The waiver must be kept in the Mission's files. Possession of the waiver should be reflected in the Mission Order for Participant Training.

Lodging Guidelines

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 Training Implementation Plan (TIP), when used, must clearly indicate each city and the corresponding daily lodging rate(s).

Training implementers might consider double-occupancy hotel accommodations for participants attending U.S.-based or third country short-term training programs, if feasible. The costs of daily lodging for U.S.-based training must not exceed the U.S. Government Maximum Travel Per Diem Allowance (CONUS) rates, as established by the General Services Administration (GSA), or the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates if the training in outside the U.S. Double-occupancy lodging cost per participant will generally be significantly below these prescribed rates, which are based on single occupancy.

To assist USAID with its efforts to contain costs, the training implementer is expected to make every effort to secure (safe and appropriate) participant lodging at, or below CONUS rates. If circumstances

force the lodging costs to exceed the maximum rate allowed by CONUS (or the U.S. Government Maximum Travel Per Diem Allowance for Foreign Areas rates if the training in outside the U.S.), justification and USAID approval must be documented by the training implementation contractor(s).

Participant Maintenance Allowances

USAID relies on a prescribed payment structure for participant maintenance allowances for all sponsored programs and this structure must be adhered to by training implementation contractors when arranging a program. ADS 253 outlines Agency policy on allowances, including conditions under which adjustments must be made. The Mission makes the final determinations regarding allowance adjustments.

Health and Accident Insurance Coverage (HAC)

All participants and exchange visitors in U.S. programs must be enrolled in a health and accident insurance plan. Health and accident insurance is required as a condition for J-1 visa eligibility. Moreover, USAID has a vested interest in safeguarding the wellbeing of persons who are sponsored for training, and in avoiding financial losses due to uncovered health liabilities. The Participant Training implementers must handle health and accident insurance enrollment and payment of premiums.

Sponsoring Units and Implementers must select a level of insurance coverage that meets or exceeds the Federal requirements established to implement the Mutual Educational and Cultural Exchange Act of 1961 (the "Act"), as amended, Public Law 87–256, 22 U.S.C. 2451, *et seq.* (1988) as set forth in Code of Federal Regulations, Title 22, Part 62.14 (**22 CFR 62.14**). ADS 253 policies specify USAID's minimum coverage requirements, including:

- Medical benefits of at least $150,000 per accident or illness;
- A deductible not to exceed $10 per accident or illness;
- Requirement of a 1-year waiting period for pre-existing conditions or other reasonable waiting periods as determined by current industry standards;
- No requirement of co-insurance under the terms of which the EV may be required to pay a percentage of the covered benefits per accident or illness.

In lieu of a USAID centrally-managed health and accident insurance contract, Sponsoring Units and Implementers must enroll participants and exchange visitors in health and accident coverage offered by a U.S. college or university, or by other qualified private insurance providers that meet USAID requirements specified in this ADS chapter.

The selected health and accident insurance must: (a) cover the "usual, customary, and reasonable" charges for required medical services; and (b) provide coverage that begins the day the participant or exchange visitor departs his or her home country to travel to the U.S. and remains in effect through the day he or she returns to the home country.

Sponsoring Units must also ensure that approved J-2 dependents are enrolled in health and accident insurance coverage.

While the J-1 visa eligibility is not a factor, USAID participants who are sponsored for third country training must also be covered by a health and accident insurance plan. The Participant Training Implementer in coordination with USAID may select any insurance provider that offers requisite coverage that is recognized in the country of training, then enroll participants and handle premium payments.

For further information on health and accident insurance requirements, see ADS 253.

Monitoring and Tracking U.S. and Third Country Program Progress

Monitoring and tracking participant status and program progress minimize USAID's vulnerabilities, facilitate compliance with policy requirements and increase accountability for the use of resources.

Monitoring U.S. – Based Program Participants

Under terms of the Immigration and Nationality Act, participants of U.S.-based participant training activities must reside for a total of 24 months in their respective host country before being eligible for H-1 or L-1 non-immigrant visas or for legal permanent residence in the U.S. (commonly known as a green card, which denotes eligibility for employment). This residency requirement does not prevent returned participants from visiting the U.S. on other types of visas. See ADS 252.

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

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

Participants and exchange visitors must not arrive in the U.S. more than three calendar days (seven calendar days for long-term programs) prior to the first scheduled U.S.-based activity of his or her program. Participants and exchange visitors must depart from the US within three calendar days (seven calendar days for long-term programs) after the last U.S.-based activity of his or her program, unless circumstances preclude the departure and the USAID Responsible Officer or Alternate Responsible Officer approves the exception in writing.

Within three calendar days of the program start date (indicated on the DS 2019 form) the Sponsoring Unit and training implementer must confirm that the Participant or exchange visitor has arrived in the U.S. and has begun his or her program. Upon confirmation, the R1 must update the Participant's / exchange visitor's status in TraiNet, the R2 must update the status in VCS, and the USAID Responsible Officer submits it to SEVIS. If validation is not received as prescribed, the Participant / exchange visitor is placed in "No Show" status with Immigration and Customs Service.

The training implementation contractor must maintain current information about participants throughout their stay in the United States, including bio-data, address, name or status change. These changes must be transmitted to the EGAT/ED Responsible Officer by entering the information into USAID's TraiNet VCS web-based system, https://trainetweb.usaid.gov/Welcome.do.

 The training implementer must grant approval for participant' travel outside the U.S. while enrolled in a USAID-sponsored training or other visitor exchange activity. The training implementation contractor must ensure that participants' Certificate of Eligibility forms DS-2019 are endorsed with the signature of the EGAT/ED Responsible Officer or Alternate Responsible Officers before the participants depart the U.S.

The training implementation contractor must actively oversee and monitor participant's/exchange visitor's progress to ensure that the activity is successful and that identified problems are resolved quickly and effectively.

At a minimum, monitoring must include assurances that:

- The participant/exchange visitor has arrived and settled into appropriate living quarters;
- The training meets the originally planned technical objectives and remains within expected costs;
- The participant/exchange visitor is regularly attending scheduled activities and/or sessions of a technical training activity; and is enrolled on a fulltime basis if academic training;
- Adequate levels of achievement are being met;
- No serious personal or health problems develop which impair the successful completion of the activity;
- The participant /exchange visitor continues to have a valid passport, J-visa, and Certificate of Eligibility Form DS-2019;
- Departure arrangements are made upon completion or termination of the activity, and the COR and appropriate USAID Mission are informed of the arrangements;
- The participant / exchange visitor is returned to his or her home-country workplace or professional setting, so as to maximize the outcomes of the training program.

Progress in academic and long-term (six months or more) technical programs must be documented on the Academic Enrollment and Term Report (AETR) (AID-1380-69). The form can also be used for programs of less than six months given by a training institution with a formal structure. The training

implementation contractor is responsible for obtaining the report from academic institutions and providing it to the Mission.

Monitoring Third Country-Based Training

Training implementers must also monitor third country training participant's progress to ensure their program is successful and that identified problems are resolved quickly and effectively.

Monitoring must include the same assurances stated above for U.S.-based training, with the exception of concerns about J-1 visa, Certificate of Eligibility Form DS-2019 and documentation on the Academic Enrollment and Term Report (AETR).

Employment

Implementers are reminded that participants are not authorized to work while participating in a USAID-sponsored training program. Their employment would have both legal and programmatic implications. More details, including exceptions are provided in ADS 253.

Dependents of U.S. and Third Country Training Participants

Missions must establish their own policies governing the travel of dependents to accompany U.S. trainees / exchange visitors and their J-2 visa eligibility. Sponsoring units should keep in mind that dependents accompanying participants in short-term training (1-3 weeks) may be counter-productive to learning and group dynamics. Dependents are subject to the same policies and procedures as all other training program applicants as outlined in ADS 252 and ADS 253.

Dependent certification must comply with ADS 253 and the mission's policy on dependent travel referenced in earlier sections. See Appendix for the Dependent Certification Form.

Similarly, missions must establish their own policies governing dependents accompanying USAID sponsored participants in third country training.

Non-Returnees

Participants who fail to return to their home country within the allotted time after completing their program are a serious concern to both the implementing contractor and USAID staff. The training implementation contractor must track the departure status of participants and exchange visitors, and must inform the COR and the EGAT/ED Responsible Officer in writing immediately if a U.S.-based participant or exchange visitor becomes a non-returnee. The training implementation contractor will also inform the COR and EGAT/ED Responsible Officer if a non-returnee is found to have returned to their home country at any time thereafter.

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

Participant Taxes

All participants in U.S.-based training activities are subject to the United States Internal Revenue Service (IRS) requirement of filing U.S. tax returns, whether or not tax payments are due. The training implementation contractor and participants/exchange visitors must ensure all aspects of income tax compliance in accordance with all applicable federal, state, and local statutes and regulations, including USAID ADS 252 and ADS 253 directives. Please click here for further details.
http://www.irs.gov/pub/irs-pdf/p1915.pdf

Record Keeping and Required Documentation

Minimum Requirements for Documentation

The Mission and training implementation contractor must keep relevant documentation pertaining to participants/exchange visitors and training activities on file for a period of three years after the program end date, including:

1. Training request, if applicable see ADS 253.3.1.4;
2. Nomination/participant selection documentation;
3. Participants' biographical data;
4. Face page of participants' passports or national identification card;
5. *****Participant security risk and fraud inquiry documentation
6. *****Medical clearance confirmation for short-term training (unless HAC Plan C is used)
7. *****English language proficiency documentation
8. *****Signed stakeholder/training agreements or Objectives statement, if applicable
   (See ADS 253.3.7.4)
9. Signed Conditions of Sponsorship form
10. Training Implementation Plan, if applicable (see ADS 253.3.1.5)
11. Pre-departure orientation checklists
12. Participant tracking documentation
13. *****ITIN number

   *Note: Items 5, 6, 7, 8, and 13 are not required for third country training file documentation.

Evaluation and Post-Training Follow Up

USAID's substantial investment in participant training warrants concerted attention to measuring results and sharpening accountability. Evaluating training is recommended as a best practice, and it aligns with USAID's policy on evidence-based decision-making. Training is intended to change behaviors and fill the needs that were cited in the training design. The purpose of evaluation is to determine how effectively

these goals were achieved, if at all, and the contribution of training toward achievement of project or broader mission objectives, if any. The evaluation findings can also be used to modify and improve successive training and inform decisions about levels of investment in future training.

We propose three options for implementers' consideration in evaluating training and ultimately the effectiveness of program design.

1. The basic Kirkpatrick Model which involves four levels for evaluating the effectiveness of training, namely, reaction, learning, behavior and results. (http://www.kirkpatrickpartners.com/OurPhilosophy/tabid/66/Default.aspx).
2. The second option is an adaptation of the Kirkpatrick model; it expands the four basic levels, covers a more extended period of time, and includes evaluation items that focus on impact. Both options one and two can be conducted by the training implementer, and, in order to be most effective, the evaluation process should loop back to the Training Plan and training program design for baseline data.
3. The third option for evaluating training is a participant post-training questionnaire that draws upon an earlier E&E bureau initiative which focused on measuring capacity development of private sector institutions in former soviet bloc countries. The questionnaire is administered as a one-time action. It includes prompts for interviewers (both seasoned or beginners) and suggestions that will help missions' and partners' staff become more effective at gathering information. See post-training questionnaire in the Appendix.

It is not uncommon for missions to include evaluation as a task under a training implementation contract, or make provisions for evaluation under a technical assistance contract. In other instances it might be desirable to have an outside evaluation, depending on the size and scope of the training. In either case, component parts of the evaluation might be items a) and b) below.

a) Exit Questionnaire

Administering an exit questionnaire at the close of the training event is one way of gaining feedback from participants. The exit questionnaire, if used, should be administered to trainees who attend a program that is more than ten days in length. A properly designed exit questionnaire can provide USAID with feedback on the quality of the training activity and the likeliness of participants applying the outcomes of their program in the work place. The questionnaires can 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. Moreover, the exit questionnaire can be useful for the training implementation or technical assistance contractors' self-appraisal of their management of the activity. At a minimum, the exit questionnaire should capture information that is comparable to the Fitzpatrick Model level evaluation.

b) Post-Activity Follow up/Interview

Post-training follow-up, including interviews with participants, and if feasible, their employers, 3-6 months after completion of the training program is a good practice. Missions might request the training implementation contractor to provide this service as part of their original scope of work. When training

is implemented under a technical assistance contract the Activity Manager might prefer to combine follow up and evaluation of training - technical assistance as a single entity. Other Implementers might find the Fitzpatrick Model levels two and three evaluation to be useful for their 3-6 month post training follow-up.

IMPLEMENTATION OF TRAINING-RELATED SMALL GRANTS: GUIDANCE AND PROCEDURES

All training-related grants funded by Missions to complement their Participant Training Program are executed in compliance with ADS 302.5.6, and in accordance with established policy and procedures for administering small grants. Missions should include the use of small grants in Participant Training implementation Plans or a similar planning document.

Small grants are designed primarily as in-country follow-up support to participants who have returned to their place of employment after receiving USAID participant training. Generally, 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 objective of small grants is to buttress and facilitate the goals and action plans that participants outlined before and during their training program, but they might also serve other Mission objectives.

Some examples of possible uses of small grants include: developing manuals, organizing training sessions for peers, attending conferences, establishing software or internet access, utilizing professional consulting services, and production of commodities related to the implementation of action plans.

In response to Mission requests, the implementer will execute small grants on behalf of USAID based on guidelines outlined in the following sections. Individual Missions may specify additional procedures and requirements as deemed necessary.

Initiating Small Grants

The Participant Training Plan or similar planning document should establish the relationship between a proposed training activity and the award of training-related grants.

A grant request should include much of the same information as the training request of which the grant is a follow-on – such as assistance objectives, intermediate results, and activity. Key elements include how the small grants will support the achievement of the intervention that is targeted in the training plan and the participants' action plans, a budget of costs, and recipients to be targeted.

Missions designate the level of approval for the training-related grant requests. Grant requests are often reviewed and signed by several managers in the Mission such as the AO Team leader Program Officer or

designee. Grants approval procedures should be included in the Mission Order for Participant Training or Mission Directives. The COR for the training implementation or technical assistance contract reviews the small grants request for consistency with parameters of the contract. When the highest-level approval is received, the training implementation or technical assistance contractor may begin to commit to or incur costs.

Grant Review Process and Program Promotion

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

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

The contractor may be responsible for drafting the evaluation and selection criteria, which will be approved by USAID.

Applicant Eligibility and Selection

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

- Grants are generally for organizations or work units, not individuals. However, USAID may make a provision to award a grant to an individual provided that the organization or work unit authorizes the application;
- The organization benefited from USAID training which took place within the prior five years;
- The grant supports the same activity outlined in the training intervention request and part of the Mission's training plan, or an activity that is closely related to the original training intervention request;
- The grant is for in-country or regional activities;
- Priority will be given to applications from participants whose training was more than 2 days in duration;
- Priority will be given to organizations that have not been previous award recipients of a training-related grant. However, USAID at its discretion, may approve a subsequent grant to a prior grant recipient if, a) the subsequent grant is not for the same activity as the prior grant; and b) if the subsequent grant is an integral part of a larger training series being undertaken with the organization and where a subsequent grant is demonstrated to fit into the larger training plan with the organization.

Grants are not to be used to:

- Send people to training programs or to fund activities that would otherwise be implemented as participant training.
- Support any activities in the U.S.
- Fund religious activities.
- Support activities that exceed 1 year to implement.
- Support activities that exceed a reasonable cost.
- Fund any activity to influence the outcome of an election, or promote an individual or political party self-interest.
- Augment salaries of government employees for work performed to implement the grant activity during the course of regular business duties and/or regular office hours. Salary supplements are payments made that augment an employee's base salary or premiums, overtime, extra payments, incentive payment and allowances for which the Host Government employee would qualify under Host Government rules or practice for the performance of his/her regular duties or work performed during his/her regular office hours. Per diem, invitational travel, honoraria and payment for work carried out outside of normal working hours are not considered to be salary supplements. (see FAR 752.231-71)

Review of Grant Applications

Small grant awards are made based on an application process. Grant applications may be accepted on a "rolling-submission" basis, or as otherwise determined by the Mission.

The requestor must complete an application form, 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 and the expected results.

The implementing contractor, in coordination with the Mission 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" answers such questions as:

- How well does USAID, the field office or other relevant USAID implementing partners know the individual/organization?
- What information is available that shows the individual/organization will comply with award criteria and be accountable?
- Has the organization ever managed funds from another donor?

USAID Mission staff participates in the review committee, which may be chaired by the implementing contractor, at the Mission's discretion. The USAID Mission makes the final determination on the grant recipients. The implementing contractor will notify all applicants of the final decision regarding the success or failure of their application. Execution of the grant agreement will be completed and the funds will be disbursed by the implementing contractor on behalf of USAID.

Grant Award

The training implementer should negotiate the budget of each grantee before signing an award letter. The budget must specify grantee contributions, if applicable, and reimbursable and ineligible costs.

The grant award letter will include the approved activity description, a timeline for completing the grant, financial and narrative reporting requirements, terms of payment, and grant termination, dispute, and close-out procedures. In most cases it is a best practice that a percentage be withheld until the final report is received.

It is also recommended that the implementer hold a grants management workshop or orientation (for multiple recipients when applicable) or consultation (for individuals). This will familiarize grantees (or sub-grantees) with the purpose and objectives of the Small Grants Program and the Grant Agreement Letter and help grantees finalize their program outcomes and determine measurable indicators of achievement.

Monitoring and Evaluation

When a grant is approved, the implementer 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 implementer will specify monitoring visits and submission of financial reports, as required.

The implementer will receive, along with the Mission, all financial and narrative grant reports that will be required of the awardee. Site visits will be conducted by implementer staff as appropriate.   If the implementer has concerns about 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 the cost of the activity not in compliance;
- Wholly or partly suspending or terminating the award;
- Taking other remedies as legally available.

The implementer will prepare and submit a report on grant outcomes to the USAID Mission, and will meet with USAID as needed.

IMPLEMENTATION OF TRAINING-RELATED TECHNICAL ASSISTANCE: GUIDANCE AND PROCEDURES

This section presents the required preparation and documentation necessary for USAID-sponsored in-country training-related technical assistance. 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 a training or capacity building intervention. The objective of 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 technical assistance could be targeted at overcoming specific constraints trainees experience in their workplace in transferring the knowledge they recently acquired during their USAID sponsored 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 with 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
- Translating or procuring training manuals or guides.

In response to Mission requests, the training implementation contractor, technical assistance contractor or grantee will coordinate, administer and monitor all in-country training-related technical assistance, and keep the Mission apprised of results. As a best practice Sponsoring Units should ensure that all such technical assistance interventions are integrated into the Mission's Training Plan or a similar document.

Training Related Technical Assistance

The training implementation contractor or other implementers may initiate and draft the training-related technical assistance requests, or the Missions may prefer to provide the implementing contractor with completed technical assistance requests.

The technical assistance concept/request form 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 should include the length of the assistance (whether a series of activities or just a single TA intervention, for example), the number of experts that may be needed, and language requirements of the technical assistance provider, if an interpreter will not be used.

It is not envisioned that commodities will be a prime deliverable of a technical assistance intervention. A small grant may be better suited for the purchase of training-related commodities.

Approval

Missions designate the level of approval for training-related technical-assistance requests. Technical assistance requests are often reviewed and signed by several managers in the Mission such as the AO Team leader or Program Officer or designee. Technical assistance approval procedures should be included in the Mission Order for Participant Training or Mission Directives. The COR for the training implementation mechanism reviews the technical assistance request for consistency with parameters of the contract. When the highest-level approval is received for the technical assistance, the training implementation contractor may begin to commit or incur costs.

Technical Assistance Provider Selection

Technical assistance provider services will be procured through limited competition. Within the parameters of limited competition, and following procedures developed by the training implementer and approved by the Office of Acquisitions and Assistance, technical assistance services may be procured in three ways: competitive procurement, non-competitive procurement and sole source procurement.

Mode of Procurement

Within the parameters of limited competition, and in accordance with USAID's Office of Acquisition and Assistance directives, the training implementer must determine the mode of procurement (competitive, non-competitive, and sole source). However, there will be specific instances where competitive solicitation will not be required and interventions may be awarded to training providers non-competitively. Where it has been determined by USAID that technical assistance provider services for an intervention will not be competitively procured, appropriate justification must be retained in the Mission's and training implementer's program files.

Competitive Procurement

The training implementer must competitively solicit for technical assistance services to carry out tailored in-country technical assistance. When feasible, the training implementer should contact at least three,(preferably five) technical assistance providers and send each a Request for Technical Assistance Proposal (RFTAP). Interaction with the potential technical assistance providers must be conducted in accordance with procedures developed specifically for the informal, limited competition and approved by USAID's Office of Acquisition and Assistance. Documentation of the interaction should be retained in the training implementation contractor's program files.

Non-competitive and Sole-Source Procurement

The training implementer must obtain proposals from technical assistance providers regardless of whether the procurement for the intervention is competitive, non-competitive or sole-source. The implementer is responsible for ensuring the quality of all technical assistance interventions and therefore must be in a position to negotiate with and provide technical guidance through the proposal review process.

Procurement Documentation

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

Recommendation and Selection Memo

Once potential providers submit bids for procurement, the material sections of each proposal are carefully reviewed. The training implementer recommends the most cost-effective, quality technical assistance proposal to the USAID Mission in a Recommendation Memo. The Recommendation Memo and proposals must also include a budget for the technical assistance. In the case of non-competitive procurement, the selection memo must state the applicable criteria for non-competitive award.

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

The USAID Mission ultimately selects the technical assistance provider. The Mission may not necessarily choose the training implementation contractor's recommended provider.

Sole Source Justification

In those instances where the Mission has requested sole source procurement with a specific technical assistance provider, the training implementer will prepare, using justification provided by the Mission,

appropriate documentation for the sole source procurement. Such documentation must be retained in the Mission's and the training implementation contractor's program files.

Technical Assistance Implementation Plan

The Technical Assistance Implementation Plan (TAIP) is the training implementer's detailed technical assistance design prepared in response to the Request for Technical Assistance. The Technical Assistance Implementation Plan holds in one place all the critical information of the technical assistance, including the itinerary and budget. Required elements include the following:

1. Name of technical assistance intervention
2. Names of participants
3. Name of technical assistance provider
4. Description of type of technical assistance to be provided
5. Technical assistance dates
6. Assistance objectives
7. Itinerary including day-to-day description of technical assistance methodologies
8. Budget worksheet

The implementation plan must be signed by the Mission.

Arrange for Interpreters

The use of interpreters, if necessary, must be indicated in the technical assistance plan. Interpreters may be arranged to ensure the effectiveness of the technical assistance intervention.

Monitoring Technical Assistance Interventions and Reporting Outcomes

The training implementer is responsible for maintaining regular contact with the technical assistance provider and can be alerted through that contact if problems arise. In addition, personal telephone calls to the targeted recipients are highly recommended and are typically part of the monitoring procedure.

A monitoring site visit to observe technical assistance interventions may be conducted when appropriate. The training implementer 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. The report will specify whether the technical needs have been met. If the technical assistance needs were not met, the report must explain reasons for the variance between planned and actual outcome, and must indicate whether additional technical assistance activity is needed.

APPENDIX 1

Participant Training Plan Component 1: Executive Summary

I. Mission Context for Participant Training and Related Interventions

In not more than three paragraphs:

- Describe how Participant Training fits into the USAID country development strategic documentation such as CDCS as well as into AO, IR, and program activity goals
- Outline the key elements of the country strategy for this period
- Explain that the plan is a work-in-progress, and is liable to change over the period

II. Participant Training and Related Interventions: Short-Term Training, Long-Term Training and Academic Education, Small Grants, and Technical Assistance

Overview:

In no more than two paragraphs, describe:

- Purpose of the training activities and other interventions
- Number of proposed programs, with the caveat of funding availability
- How the programs will be managed

Summary of Programs by Sector or Technical Area:

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

Small Grants:

If applicable, describe the purpose of Small Grants, and the estimated funding available

Technical Assistance:

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

Participant Training Plan Component 2: Summary Table

PART 1. Participant Training and Related Interventions									
Assistance Objective	Proposed Activity	Type of Requested Intervention/ Venue	Length	Proposed Dates or Fiscal Quarter	Estimated Number of Participants/ Exchange Visitors	Participant Profile	Program Description	Allocation	Notes/ Comments

PART 2. Special Activities (For CPCs, might be opportunistic, urgent, unanticipated training or related intervention that is not directly or obviously related to a particular Assistance Objective)									
Assistance Objective	Title	Venue	Length	Dates	Number of Participants / Exchange Visitors	Participant Profile	Program Description	Allocation	Notes/ Comments

Participant Training Plan Component 3: Intervention Request Forms

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

Part 1 – Participant Training and Related Interventions
Part 1 is a compilation of all intervention request forms for Participant Training and related interventions. These forms may include:
- o Request Form – Short-Term Training Form (Appendix 1.1)
- o Request Form – Academic Education (Appendix 1.2)
- o Request Form – Entrepreneurial Management Training (Appendix 1.3)
- o Request Form – Small Grant (Appendix 1.4)
- o Request Form – Technical Assistance (Appendix 1.5)

These forms may be organized by Assistance Objective, Sector or any other logical grouping that is relevant to the Mission.

Part 2 – Special Activities

Part 2 is a compilation of all Participant/Exchange Visitor Request Forms (EVRFs) (Appendix 1.6) related to selected Missions in conflict, post-conflict or critical priority countries. Special activities might include an unanticipated USG strategic program event or other urgent training, or related interventions that are only minimally related to a

current USAID Assistance Objective. These Request Forms may be organized by logical groupings that are relevant to the Mission.

Request Form – Training Intervention (TIRF)

From: [Name, Title, USAID/Country] Technical Office Staff
                    [Name, Program Officer, USAID/Country]

To: Name,COR/AOR

Date:

Subject: Intervention Request: **[Title of Program]**

USAID Assistance Objective/Development Objective addressed:
Assistance Objective / Development Objective #

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

Performance Assessment: Is the proposed training based on a Performance Assessment?   If yes,
   [Describe details of Perfomance Assessment]

Intended Results:
Performance Results:
What organizations and work units does the training intervention support?
What performance problems will the training intervention address? In the work unit, what are the indicators of performance?
What is the history of assistance to the organization and to the work unit?
What other support activities are underlined required to achieve the desired result?

Application of Knowledge, Skills and Attitude (KSA) by Trainees:
How will the trainee(s) apply the new knowledge, skills and attitude?
What will the trainee(s) be responsible for after completing the training?
What work place conditions are necessary in order for the trainee(s) to apply KSA learned?
Objectives of Training Intervention

Training Intervention Components and Follow-On:
Training intervention component(s)
Projected Follow-on Activities

Funding Priority of Training Intervention:

TRAINING INTERVENTION
   Training Management
   Training Venue
   Type of Course

PROJECTED START DATE   QUARTER OF FY
     Training Duration in weeks:

Estimated Number of Cooperating Country Nationals/Trainees to Attend Intervention:
               Males:
               Females: (USAID goal is 50% female participation)
               Total:

Training Provider, if identified: (Please provide contact information)

Background/Supporting Information:

Trainee Profile
               Criteria for Candidate Recruitment and Selection:
               Candidates will be identified:
               Explanation:

 Summary of Desired Candidate Qualifications: English Language Certification
               Interpreter Requested:
               Language(s) required:

COST ESTIMATES

ESTIMATED COST: $ X,000 PER TRAINEE

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

<div style="border:1px solid black; padding:10px;">

Approval:
     For the USAID/Country A.O. Team or Designee:

_____
Name, Title   Date

For the USAID/Country COR/AOR, Program Office or Other Designated Unit:

_____
Name, Title   Date

</div>

Request Form – Training Template Guidance Sample

From: Technical Officer, USAID/Jupiter
            Rule of Law Advisor, USAID/Country
To: [Implementing Contractor] via AOR/COR
Date: March 28, 2011
Subject: Intervention Request: **National Court Administration**

USAID Assistance Objective/Development Objective addressed:
Assistance Objective # 2.2: An improved judiciary that better supports democratic processes and market reforms
Intermediate Result: **# 2.2.3**
Intervention Plan: This intervention was foreseen in the Mission's FY 2011 Participant Training plan.
Performance Assessment: Is this training a result of a Performance Assessment? If yes, which assessment?
The need for this training was identified during an assessment of the Supreme Judicial Council that was carried out in December 2011
Intended Results:
Performance Results

- ➢ What organizations and work units does the training intervention support?
  This training supports the Supreme Judicial Council (SJC)
- ➢ What performance problems will the training intervention address? In the work unit, what are the indicators of performance?
  This training will address Issues of ambiguity and inefficiency in the way the SJC handles national administration.

- ➢ What is the history of assistance to the organization and to the work unit?
  USAID and a U.S. private sector Law Institute have both given support to the SJC.
- ➢ What other support activities or conditions are needed in order to achieve the desired result?
  It is important that there be an adequate number of qualified staff to support the SJC and to provide administrative support to the courts of Jupiter. Oversight and interaction between the SJC, the Secretary General and the Council's departments should be clearly defined. USAID is a strong advocate for development of a well-defined national courts administration structure with the SJC that would relieve the body of much of its administrative function and allow it to focus more on matters of policy.

Application of Knowledge, Skills and Attitude (KSA) by Trainee(s)

- ➢ How will the trainee(s) apply the knowledge, skills and attitude?
  Upon completion of the training, it is expected that the trainee(s) will be able to apply the new skills toward improving operational efficiencies in their ongoing work with the Judicial Strengthening Initiative (JSI) in Jupiter. The JSI seeks to improve the capacities and functionality of the SJC staff and the Council itself so it can operate as a national office for the administration of courts.
- ➢ What will the trainees be responsible for?
  Through their training the participants will be exposed to models, organizational structures and practices of national court administration. Working at the national level with the JSI to develop and implement a National Court Administration Office will ensure sustainability of local court reform efforts and enhance the capacity for budgeting, planning and direction and assistance to courts throughout the country. Overall, the establishment of a National Court Administrative

Office, with sufficient staffing, will organize the SJC so that its focus can be more on policy issues and not the day to day operational issues.

➢ What is necessary for the trainees to apply KSA learned?
The idea of a centralized, national court administration office is relatively new and unfamiliar to the SJC, and such an office will need to be built and implemented from the ground up to support the work of the local court administrators. Much of the administrative responsibilities of the courts is vested in the Ministry of Justice and will require legislative changes to effect change. Among SJC members, there is general consensus among the judges that such a move is necessary. Among the other members (prosecutors and investigators) this consensus does not exist, and there is even some resistance. Among those who support the development of a court administration office, few are certain about the details and how such an office can best function in Jupiter. Accordingly, the main focus of this study tour is to introduce the management concepts and to improve the effectiveness of and methods of centralized court administration from a national perspective. Another important aspect is to help build consensus and "obtain buy-in" to the idea of an administrative office; i.e., to expand the participant(s)' understanding of the time and cost efficiencies of a National Court Administrative Office, such that they can instill confidence and leverage consensus of the skeptics.

Objectives of Training Intervention
The basic goal of this study tour is to introduce participants to models, organizational structures and practices of effective national court administration in the U.S. or in another country such as Denmark that has a well functioning Council of the Judiciary model, with the expectation that they will be able to apply some of the principles and practices observed and discussed in their ongoing work with the JSI in Jupiter.

A. At the end of training, participants will be able to describe the following about national court administration in the host country:
1. **The membership of the country's Judicial Council body;**
2. **The competencies of the country's Judicial Council body, especially in relation to national court administration;**
3. **The organizational structure of the Judicial Council and any subcommittees/departments of the Council in relation to national court administration;**
4. **The management organization of the Judicial Council (director, deputy director, secretary general, etc.), especially in relation to national court administration;**
5. **The manner in which the activities of the subcommittees/departments and the Judicial Council are coordinated;**
6. **The planning methods used by the Judicial Council and its subcommittees/departments; and**
7. **The background of reforms that led to the current system and key factors that make those reforms effective**.

B. At the end of training, participants should be able to answer the following questions related to the national court administration in the host country, and translate the answers to action:
1. **What is the form and substance of the by-laws and other internal procedure documents for the country's Judicial Council?**
2. **What are the competencies of directors and other executive officers of the Judicial Council?**

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

Training Intervention Components and Follow-On
Training intervention component(s)
Meetings with officials at the national court administration offices, such as Judicial Council members (delegation of responsibility to council staff; policy development versus direct management of the courts); Judicial Council directors, secretary general, other officers; Judicial Council subcommittee/department heads; Judicial Council administrative support staff, in particular staff responsibilities for national court administration.

  A. **Discussion of progression of changes over time to the Judicial Council's organizational structure and practices, and the responsibility for policy development versus implementation by council staff.**
  B. **Discussion of any planned future reforms to the Judicial Council's organizational structure and practices.**
  C. **Discussion of Judicial Council's interaction with other governmental agencies, entities and individuals.**
  D. **Discussion of challenges and constraints the Judicial Council has faced over time and strategies used to overcome them (in general and more specifically in relation to dealings with external parties).**

Action planning (strongly recommended component):

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

Projected Follow-on Activities

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

Funding Priority of Training Intervention

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

TRAINING INTERVENTION

Training Management

Dates and Duration: **Considering the demanding work schedules of the likely participants, the study tour should consist of 3.5 or 4 working days. The group should arrive in the U.S. or other country of training on Tuesday, meet with experts and practitioners on Wednesday, Thursday and Friday, and discuss action planning and follow-up with JSI representatives (and colleagues in the country of training, if possible and useful) on Saturday morning. The cultural components of the program should take place during the evenings and on Saturday afternoon, and the group should depart for Jupiter on Sunday. Ideally, the program will take place in late October or early November.**

Training Venue: **U.S. or Third Country**
Type of Course: **New Intervention**
PROJECTED START DATE: 3RD QUARTER OF FY 2011

TRAINING DURATION IN WEEKS: **1 WEEK**

PART OF PARTICIPANT TRAINING PLAN FOR 2011

> **Number of Trainees to Attend Intervention:**
>   Males: **5**
>   Females: **5**   (USAID GOAL IS 50% FEMALE PARTICIPATION)
>   Total: **10**

Suggested Training Provider, if identified: (please provide contact information)
The U.S. Federal Court Administration is suggested as Training Provider:

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

When it is determined by the Mission that the training provider services for an intervention will not be competitively procured, [...] the contractor must document the justification for sole source procurement..." Approval of the justification is provided by the Mission.

Background/Supporting Information
Increasing numbers of countries are developing an interest in a strong and independent system of judicial administration. In the U.S., there are generally two models of judicial administration systems: the Federal and the District Models. The Federal Model vests authority for judicial appointments and responsibility for all court administrative functions in an intermediary judicial council. The District Model is completely autonomous and Administrator exercises all authority.

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

With the recent increase in the SJC's functional responsibilities, Jupiter which already reflected many elements of the Federal Model have moved even closer towards the Federal Model. It is therefore recommended that the study tour visit the U.S.

Trainee Profile
Criteria for Candidate Recruitment and Selection
Candidates will be identified: See explanation below
Explanation: **The group will consist of 10 – 12 participants. The SJC has statutory responsibility for the administration of the courts and current planning about participants in the study tour group assumes that this will continue to be the case for the foreseeable future. Most of the participants, therefore, will be members of the SJC and key staff members from the Office of the General Secretary's Office of the SJC. The SJC's standing committees are Court Administration, Budget and Finance, and European Integration all of which are involved in the development and establishment of a system for National Administration of the Courts.**

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

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

ENGLISH LANGUAGE CERTIFICATION
        Interpreter Requested: Yes
        Language(s) required: **English**

COST ESTIMATES: ESTIMATED COST: $4,500 PER TRAINEE
    Cost sharing:
    Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.
    Funding source: USAID DG Technical Team or Project Manager

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Approval:
For the USAID/Country A.O. Team or Designee:

_____
Name, Title   Date

For the USAID COR/AOR, Program Office or Designated Unit:

_____
Name, Title   Date

Appendix 1.2 – Request Form for Academic Education

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

USAID Assistance Objective/Intermediate Result addressed:
Assistance Objective #
Intermediate Result #
Intervention Plan: This intervention was/was not foreseen in the Mission's FY 20xx Participant Training plan.
Performance Assessment: Is the proposed training based on a Performance Assessment?   If yes, please
 [Describe details of Perfomance Assessment]
Intended Results:

Performance Results:
What organizations and work units does the training intervention support?

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

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

What other support activities or conditions are needed to achieve the desired result?
Application of Knowledge, Skills and Attitude (KSA) by Trainees:
How will the trainees apply the knowledge, skills and attitude?
What will the trainees be responsible for?
What is necessary for the trainees to apply KSA learned?
Objectives of Training Intervention

Training Intervention Components and Follow-On:
Training intervention component(s)
Projected Follow-on Activities
Funding Priority of Training Intervention:

TRAINING INTERVENTION

Training Management
Training Venue
Area and Level of Training
Projected Start Date   Quarter of FY
Training Duration in weeks:

PART OF PARTICIPANT TRAINING PLAN FOR

Number of Trainees to Attend Intervention (USAID goal is 50% female participation)**:**
        Males: Females: Total:

Suggested Training Provider, if identified: (Please provide contact information)

Background/Supporting Information:

Trainee Profile
       Criteria for Candidate Recruitment and Selection:
       Candidates will be identified:
       Explanation:
       Summary of Desired Candidate Qualifications:

ENGLISH LANGUAGE CERTIFICATION
       Interpreter Requested:
       Language(s) required:

COST ESTIMATES

ESTIMATED COST: $ X,000 PER TRAINEE
Cost sharing:
Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.
Funding source:

Approval:
For the USAID/Country A.O. Team or Designee:

_____

Name, Title   Date
For the USAID/Country Program Office, COR/AOR or Designed Unit:

_____

Name, Title   Date

Appendix 1.3 Request Form: Entrepreneurial Management Training

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

USAID Assistance Objective/Intermediate Result addressed:
Assistance Objective #
Intermediate Result #
Intervention Plan: This intervention was/was not foreseen in the Mission's FY 20xx Participant Training plan.
Performance Assessment: Is the proposed training based on a Performance Assessment? If yes, please: [Describe details of Perfomance Assessment]
Intended Results:
Performance Results:
        What organizations and work units does the training intervention support?
        What performance problems will the training intervention address? In the work unit, what are the indicators of performance?
        What is the history of assistance to the organization and to the work unit?
        What other support activities or conditions are needed to achieve the desired result?

Application of Knowledge, Skills and Attitude (KSA) by Trainees:
        How will the trainees apply the knowledge, skills and attitude?
        What will the trainees be responsible for?
        What is necessary for the trainees to apply KSA learned?
        Objectives of Training Intervention
Training Intervention Components and Follow-On:
        Training intervention component(s)
        Projected Follow-on Activities
        Funding Priority of Training Intervention:
Training Intervention
        Training Management
        Training Venue
        Type of Course
        Projected Start Date   Quarter of FY
        Training Duration in weeks:
        PART OF PARTICIPANT TRAINING PLAN FOR

Number of Trainees to Attend Intervention:
        Males:
        Females:
        (USAID goal is 50% female participation)
        Total:
Suggested Training Provider to Receive RFPs, if any: (Please provide contact information)

Background/Supporting Information:

Trainee Profile
    Criteria for Candidate Recruitment and Selection:
    Candidates will be identified:
    Explanation:
    Summary of Desired Candidate Qualifications:
ENGLISH LANGUAGE CERTIFICATION
    Interpreter Requested:
    Language(s) required:
COST ESTIMATES
ESTIMATED COST: $ X,000 PER TRAINEE
Cost sharing:
Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.
Funding source:

Approval:

For the USAID/Country A.O. Team or Designee:

_____

Name, Title   Date

For the USAID/Country Program Office, COR/AOR, or Other Designated Unit:

_____

Name, Title   Date

Appendix 1.4—Request Form: Training Related Small Grants Application

When considering or planning for a grant please follow the outline provided below. Please address each section individually and make sure to answer all questions fully.

Section 1: Institutional Information
- a. Please summarize your institution's history, size, mandate, and constituents.
- b. Please give the date of the performance assessment.

Section 2: Performance Issues
- a. What are the performance Issue(s) identified by the performance assessment that this grant activity will address?
- b. Who else is working on the issues that this grant will address? Please include activities supported by USAID funding and by other donor funding.

Section 3: Proposed Grant Activity
- a. What type of activity are you proposing to implement (please explain in detail), and who will implement it?
- b. What will be the direct results of this activity?
- c. Explain how this activity will fill the performance gap(s) as identified in the performance assessment

Section 4: Evaluation
- a. How will you determine if your funded activities have been successful?
- b. What measurement will you use?

Section 5: Resources
- a. What resources are necessary for the completion of this activity?
- b. Describe the types of in-kind support your organization will provide.

BUDGET SUMMARY

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

BUDGET (Double-clicking on this chart to create an Excel spreadsheet)

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

Appendix 1.5—Request Form for Training Related Technical Assistance

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

USAID Assistance Objective/Intermediate Result addressed:
Assistance Objective #
Intermediate Result #

Intervention Plan: This intervention was/was not foreseen in the Mission's FY 20xx Participant Training plan.
Situation/problem:

Technical Assistance Intervention needs:
Intervention output: An immediate result of the intervention.   .
Intervention outcome: In the short to medium term   .
Performance indicators:

Terms of Reference (in chronological order):
         1.
         2.
         3.

Profile of expert(s):
Intervention period:
Location:
Language of the intervention: (Interpretation [will/will not] be provided.)

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

Estimated cost: $ [xx,000]
Cost sharing:
Cost containment: Every effort will be made to contain costs while achieving the objectives of the intervention.

Responsibilities of intervention:

Approval: For the USAID/Country A.O. Team: _____   Name, Title   Date   For the USAID/Country COR, Program Office or Other Designated Unit   _____   Name, Title   Date

Training Related Technical Assistance Template Guidance (Example)

From: Program Officer, USAID Jupiter
                  Health Specialist, USAID Jupiter
To: [Implementing Contractor] Country Director
Date: March 28, 2011
Subject: Intervention Request: **Hospital Management – Technical Assistance**

USAID Assistance Objective/Intermediate Result addressed:
Assistance Objective # 3.2 Improved Selected Primary Health Care Services in Targeted sites;
Intermediate Result # 3.2.1 Health Resources Efficiently Managed

Intervention Plan: This intervention was foreseen on the Mission's FY 2011 Participant Training Plan.

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

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

Other management challenges include loss of supplies such as sheets and mattresses, maintenance of equipment. The hospital does not have norms defining systematic replacement of such supplies. The inability of administrative staff to determine and report the cost of specific medical or custodial services makes sound decision-making difficult. Finally, the lack of communication and information sharing slows decision-making and reduces the efficacy of administrative staff, often leading to a stoppage of work if the head of the department is not present.

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

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

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

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

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

Intervention period: approximately 3 months, preferably

Location: Datchet, Jupiter

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

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

Estimated cost: $31,000

Cost sharing: The University Hospital Center will provide interpretation.

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

Responsibilities of intervention: This program will be primarily funded by USAID through [name of project]/Jupiter, with cost sharing by the University Hospital Center.

Approval: For the USAID/Jupiter A.O. Team: _____ Health Specialist   Date For the USAID/Jupiter COR, Program Office or Other Designated Unit: _____ Program Officer   Date

Appendix 1.6 Special Activities Exchange Visitor Request Form (ERF)

A.1	Group / Individual Type:	Professional	Business
	Group / Individual Name:		
	Sending Country:		
	Country City/Region:		

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

A.3	US Embassy:
Contact Name:	
Telephone Number:	
Fax Number:	

Appendix 2

    I.   TraiNet and VCS website: https://trainet-vcs.usaid.gov
   II.   TraiNet/VCS Support website: http://trainethelp.usaid.gov/
  III.   USAID ADS Chapters 252: http://www.usaid.gov/policy/ads/200/252.pdf
  IV.   USAID ADS Chapter 253: http://www.usaid.gov/policy/ads/200/253.pdf
   V.   Conditions of Sponsorship for J-1 Visa Holders (AID Form 1381-6)
  VI.   Conditions of Sponsorship for Third Country Training (AID Form 1381-7)
 VII.   Pre-departure Orientation Guide
          http://www.usaid.gov/our_work/education_and_universities/participant_training/index.html
          Dependent Certification Form
VIII.   Illustrative Stakeholders Compact
          http://www.usaid.gov/our_work/education_and_universities/participant_training/index.html