ADS Chapter 253

Participant Training for Capacity Development

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ADS 253 – Participant Training for Capacity Development

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ADS 253 – Participant Training for Capacity Development

253.1 OVERVIEW

Effective Date: 01/22/2010

This chapter provides the policy directives and required procedures for the design and implementation of Participant Training activities that are financed and managed, in whole or in part, directly or indirectly, by USAID. Foreign nationals who are selected by the Agency to engage in Participant Training activities are considered Participants.

Participant Training is:

- 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, 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 job performance 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, seminars, workshops, conferences, on-the-job learning experiences, observational study tours, or distance learning exercises or interventions.

*253.2 PRIMARY RESPONSIBILITIES

Effective Date: 04/13/2010

a. The Bureau for Economic Growth, Agriculture and Trade, Office of Education (EGAT/ED) is responsible for establishing Participant Training and Exchange Visitor program policy for USAID. EGAT/ED provides leadership and guidance in the design, implementation, monitoring, documentation, and reporting results of Participant Training and capacity development activities for Sponsoring Units (the funding source of the Participant Training and Exchange Visitor activity, which may be a Mission or USAID/Washington Office), contractors, or grant or cooperative agreement recipients (Implementers).

EGAT/ED is also responsible for

- The collection and maintenance of Participant Training and Exchange Visitor program data from Sponsoring Units and program Implementers and submission of data into SEVIS (Student and Exchange Visitor Information System). USAID uses Participant and Exchange Visitor data to inform management decisions, answer congressional inquiries, report on USAID activities, compile and disseminate program results, and to develop policy and procedural guidance.

- USAID's compliance with external Department of State and Department of Homeland Security requirements pertaining to the vetting and selection of U.S.-bound Exchange Visitors, and submission of data into SEVIS.

- Providing the Department of Homeland Security, Bureau of Citizenship and Immigration Services (BCIS), and the Department of State with information regarding individuals USAID sponsors for U.S.-based Participant Training and Exchange Visitor programs (see **ADS 252, Visa Compliance for Exchange Visitors**).

b. Sponsoring Units fund and administer Participant Training programs by using the services of Implementers. Sponsoring Units are accountable for results and must show that Participant Training programs contribute to the achievement of USAID and USG objectives. Sponsoring Units have the authority to select host country Non-Governmental Organizations (NGOs), Private Voluntary Organizations (PVOs), or other entities as program Implementers**.** When the Sponsoring Unit uses a grant or cooperative agreement that includes Participant Training implementation, the responsibility is shared between the Sponsoring Unit and Implementer, although the Implementer's accountability to USAID is set by the terms of the contract, grant, or cooperative agreement.

Also, Sponsoring Units for centrally funded or centrally managed training programs coordinate with EGAT/ED and the Management Bureau, Office of the Chief Financial Officer, Accounting Branch (M/FM/A) to verify the training costs that Participants designated as non-returnees must repay (see **253.4.9b**).

c. The Management Bureau, Office of the Chief Financial Officer, Washington Financial Service (M/CFO/WFS) issues to Participants designated as non-returnees a **Demand for Training Cost Repayment Letter (AID Form 253-1)**, based on EGAT/ED's debt determination for centrally funded or centrally managed training of non-returnees (see **253.3.7b**).

***d. Program Implementers**, whose accountability to USAID is set by the terms of the contract, grant, or cooperative agreement, assist Sponsoring Units with pre-training preparation, and also with program implementation, monitoring, data reporting, and other essential responsibilities.

A Mission may choose to retain part of the management responsibility for Participant Training activities based in the U.S. or in a third-country. As a practical matter, it is impossible to handle U.S.-based or third-country Participant Training effectively without an experienced U.S.-based or third-country entity to administer day-to-day oversight and monitoring requirements, and in the case of U.S.-based activities, to adhere to the Department of Homeland Security regulations.

*For U.S.-based and third-country Participant Training activities, when Mission staffing resources are insufficient to meet the requirements of this ADS chapter that must be

carried out in the country of training, the services of a U.S.-based or third-country entity must be engaged to provide the following:

- Carry out oversight and data reporting, including validation of arrival, in TraiNet, in compliance with **ADS 252**, as well as in compliance with the Sponsoring Unit's training objectives, Agency requirements, and other applicable U.S. Government (USG) statutes;

- Track and monitor Participants' progress toward original enrollment goals;

- Ensure the Participant's timely return to the host country; and

- Assist with Participant or Sponsoring Unit legal problems, such as arrests or lawsuits or other emergencies; for example, repatriation of disabled Participants or their mortal remains.

253.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

Effective Date: 01/22/2010

The policy directives and required procedures provided in this section are applicable to all Participant Training programs. Other requirements for U.S. visa compliance and invitational travel are addressed in **ADS 252** and **ADS 522** respectively.

Sponsoring Units must carry out, directly or through the procurement of services, all provisions of this directive when planning and implementing Participant Training programs. They must:

a. Design, implement, and track the training or program event for results and impact, with the ultimate aim of strengthening institutional or organizational capacity. Participant Training programs must support USAID objectives or other USG initiatives.

b. Report on their Participant Training activities as part of their broader performance measurement (monitoring), evaluation, and reporting requirements.

c. Design and carry out Participant Training activities with cost control and cost-sharing practices whenever possible; for example, using distance learning to the fullest extent feasible.

d. Strictly follow the policy requirements for both program and legal matters, including those contained in the **Conditions of Sponsorship form for J-1 Visa Holders (AID Form 1381-6)** and the **Conditions of Sponsorship for Third Country Training (AID Form 1381-7**).

253.3.1 Program Design Considerations
Effective Date: 01/22/2010

Sponsoring Units must be guided by a number of technical program design considerations.

253.3.1.1 Human Performance Factors
Effective Date: 01/22/2010

Sponsoring Units must review all Participant Training concepts, designs, and requests to ensure that the human performance factor intended to be addressed by the training is Knowledge and Skills. All six universally accepted human performance factors must be considered. They are: information, resources, incentives, knowledge and skills, capacity, and motives (see **Appendix, Updated Behavioral Engineering Model**). If Sponsoring Units want expected outcomes related to other performance factors they may consider alternative technical assistance interventions and possibly revise or reconsider the Participant Training concept, design, or request.

a. Types of Knowledge and Skills Training

Examples of training interventions include:

- Short-term technical training
- Long-term academic education
- Entrepreneurial management training (on-the-job and peer learning)
- Distance learning

Examples of non-training interventions include:

- Job descriptions that are written and communicated;
- Protocols and policies that are created and published;
- Gathering and posting of client satisfaction data on a regular basis;
- Adequate tools and supplies;
- Organization's Vision, Values, and Mission statements that are redefined and published;
- Strategic plans;
- Job aids, such as instruction manuals that are designed and disseminated;
- Standards and protocols;
- Feedback systems;
- Motivation/incentive recognition systems, such as awards;
- Supportive supervision;

- Improved logistical systems;
- Organization support, enhancement, and leadership that create an enabling environment;
- Discussions with supervisors concerning job expectations;
- Policy changes;
- Reorganization of work priorities;
- Information Management Systems; and
- Coaching and mentoring.

By reviewing Participant Training concepts, designs, and requests in the context of the six universally accepted human performance factors, USAID Sponsoring Units can ensure the appropriate use of Participant Training as an intervention.

253.3.1.2 Training Venue Selection Criteria

Effective Date: 01/22/2010

Sponsoring Units must choose the most appropriate Participant Training venue (see **253.3.3.4**, **253.3.3.5**, and **253.3.3.6**). The selection of venue is a function of several factors, cost being among the most important. However, the foremost determinant must be on the needed outcomes or impact of the program.

By reviewing Participant Training concepts, designs, and requests in the context of these venue considerations, USAID Sponsoring Units can optimize the use of each training venue.

At a project level, Sponsoring Units must balance three criteria: 1) quality (outcomes of event as they relate to Mission objective; 2) quantity (number of Participants trained); and 3) cost (both event costs and overall project costs).

a. In-Country Training (ICT)

In general, in-country training provides potential benefits and concerns including:

Content Benefits: Deep consideration of a topic, especially if delivered in a series of focused or custom-designed training topics which are then given practical application at worksites.

Concerns: Limited immersion and variety of ideas and difficulty in separating training from technical assistance activities.

Management Benefits: Participants' schedules easy to accommodate and fewer administrative requirements for implementation.

Concerns: Urgent events can take precedence over work of training coordination teams, as well as training coordination not being shared. Also, possible limited availability of qualified training and/or logistics providers.

b. Third-Country Training (TCT)

In general, third-country training provides potential benefits and concerns including:

Content Benefits: Focus on the theory of a regional country model based on political or economic similarities.

Management Concerns: Difficulty monitoring Participants and ensuring compliance with third country visa requirements.

c. U.S.-Based Training (UST)

In general, U.S. training provides potential benefits and concerns including:

Content Benefits: Immersion and experiential learning, and a focus on theory or a U.S. model, U.S. linkages, and team formation.

Concerns: Greater difficulty in relating the training experience to the home country context.

Management Benefits: Procedures well established and resources allocated, and training coordination shared between the contractor's home and field offices.

253.3.1.3 Training Plans

Effective Date: 01/22/2010

Sponsoring Unit training plans are not mandatory yet they are extremely useful and strongly recommended. Training plans assemble the Sponsoring Unit's full range of training activities which would otherwise remain dispersed under separate technical office's plans or program areas. A training plan enables the Sponsoring Unit to identify its overall training objective, nature, expected costs, the institutional/organizational change that the training will support, and non-training inputs that will help to improve performance of the institution/organization.

Training plans are "living" documents usually developed annually, identifying the training objective, nature, expected costs, the institutional/organizational change that the training will support, and non-training inputs that will help to improve performance of the institution/organization.

(For best practice guidance and a sample template for developing training plans, please see **Participant Training Plan**.)

253.3.1.4 Training Requests (Training Concept Designs)
Effective Date: 01/22/2010

Sponsoring Unit training requests (training concept designs) are technical design documents that, while not mandatory, are extremely useful and strongly recommended (especially when training activities are not already part of an Implementer's approved work plan). A training request provides the Implementer with the technical and logistical information he or she needs to design and deliver training activities that directly support the Mission program areas by presenting the intended results and objectives of the training, the skills to be acquired, and any follow-on activities. Estimated costs for the activity are also included. Other information may include Participant selection criteria, venue, language testing, and suggested training provider.

Training requests often comprise a major component of Sponsoring Unit training plans.

(For best practice guidance and a sample template for drafting training requests, please see **Training Intervention Request Form (TIRF)**.)

253.3.1.5 Training Implementation Plan
Effective Date: 01/22/2010

While not mandatory, the Training Implementation Plan (TIP) details an Implementer's training program prepared in response to the training request. It is prepared by the Implementer after the training or education provider has been selected and has developed the training activity. The TIP covers each segment of the training program, including relationships of training components to assistance objectives, the training institution, and the location, specific training activities, and duration of each segment. The TIP describes in day-by-day detail how the training objectives will be achieved and provides a budget estimate.

(For best practice guidance and a sample template for developing training implementation plans, please see **Training Implementation Plan (TIP)**.)

253.3.2 Participant Eligibility and Selection
Effective Date: 01/22/2010

Effective selection of Participants results in a training program with highly motivated Participants who perform well, participate appropriately, benefit from the training, and are highly likely to apply the training in furtherance of program objectives. An adequate investment of time and effort in selection is essential to both program cost containment and impact.

a. Eligibility

Sponsoring Units must be guided by the following requirements to determine an individual's eligibility for Participant Training:

1. Individuals who USAID sponsors for Participant Training must be citizens or legal residents of the host country.

2. U.S. citizens, U.S. permanent residents, individuals with dual U.S. and other country citizenship living outside the U.S., green card holders, and individuals who are seeking asylum in the U.S. are **not** eligible for USAID-sponsored Participant Training programs unless the need for such training is critically related to attaining a development objective, and the Sponsoring Unit justifies the program in writing and on a case-by-case basis. The Mission's official training files must store a copy of the justification.

The Mission Director or cognizant USAID/Washington Office Director must approve the selection of excepted Participants. The approving official must be aware that the U.S. citizen, U.S. permanent resident, or individual with dual U.S. and other country citizenship, or green card holder Participant will not travel with a J-1 visa and will have the right to remain in the U.S. permanently after completing the USAID-sponsored training. Sponsoring units must advise such individuals approved for U. S. programs in writing that there may be U.S. income tax implications related to tax payments over and above any amount due in connection with their USAID program. Any such tax payments are the responsibility of the Participant.

3. Individuals who are from a "Covered Country" must meet the criteria in **ADS 206, Prohibition of Assistance to Drug Traffickers**.

4. The Sponsoring Unit may approve Third-Country Nationals (TCNs) in presence countries only on a case-by-case basis. Justifications must be in writing and normally include the cost-effectiveness of such training, the likelihood that the TCN will return to work in the host country, and the rationale for why the Sponsoring Unit's objective would not be better served by training a national of the host country.

5. TCNs residing in USAID non-presence countries may receive training only with the justification of the Sponsoring Unit. Such justification must describe how the training or exchange program contributes to the achievement of a development objective or USG initiative and why sponsoring the individual is more advantageous than investing in a host-country national. The Sponsoring Unit must also ensure that all other aspects of Participant processing are carried out as indicated in this chapter and in **ADS 252**.

6. Individuals who USAID sponsors for Participant Training must not be USAID contractor staff. USAID grantee and cooperative agreement recipient staff may be eligible to participate in Participant Training programs. Participants who are grantee and cooperative agreement recipient staff may continue to receive salaries during training as long as the grant or cooperative agreement authorizes it or unless otherwise authorized by the Mission AOTR or Agreement

Officer.

b. Selection

Sponsoring Units must be guided by the following Participant selection guidelines:

1. Participants must not be chosen based on any personal, non-program interests. Patronage must be avoided and selection criteria must be transparent. Immediate family members of USAID employees may not be selected.

2. The Agency may use in-country training as a selection screening mechanism to help identify "rising stars" who may then be considered for third-country or U.S.-based training.

3. Alternate candidates for training should always be identified in the event of unanticipated program drop-outs.

4. Participants should possess the prerequisite academic or other skills/experience that will enable them to successfully complete the training.

5. Women In Development: In accordance with Agency policy on Women in Development, EGAT/ED established an annual target of 50 percent women in new enrollments. This target applies to each Sponsoring Unit (not to individual program areas). Sponsoring Units should try to exceed the 50 percent women target when, for example, their strategy or objective is to substantially increase the number of women trained in certain areas as quickly as possible. Sponsoring Units must identify and consider structural and cultural conditions in the host country that limit women's training opportunities when they plan projects and activities (see **ADS 201.3.9.3**).

6. Qualified Persons With Disabilities: Sponsoring Units must select and include for training (both academic and technical) qualified Persons with Disabilities. The **USAID Disability Policy Paper dated September 12, 1997**, provides guidance and procedures to promote training opportunities for persons with disabilities within USAID programs in the U.S. as well as in host countries where USAID has programs.

The Policy Paper defined a disability as a physical or cognitive impairment that affects a major life function, consistent with the definition found in the Rehabilitation Act of 1973. Sponsoring Units must: 1) make programs inclusive; 2) consult with the disability community; 3) increase staff awareness; and 4) discuss disability issues with host country counterparts and other stakeholders, including contractors, grantees, and other donors.

Participants with disabilities must be included in USAID-sponsored training programs as much as possible. Higher training cost associated with any individual Participant with disabilities is insufficient justification for Sponsoring

Units to preclude the Participant from training if she or he is otherwise qualified for it. Therefore, the requirements for the placement and monitoring of Participants with disabilities are the same as for all other Participants except for the following:

SPECIAL ALLOWANCES – Sponsoring Units may need to budget higher costs related to Participants with disabilities, and provide them with the equipment/supplies they need as well as other necessary household-related items so that they have the same opportunity to succeed as non-disabled Participants.

Participants with disabilities may need additional medical equipment (such as wheelchairs, crutches, special telephones for the hearing/visually impaired) or additional school/training-related equipment and supplies (such as Braille typewriters and Braille textbooks, which may be more expensive than regular textbooks).

Participants with disabilities may also need additional settling-in and/or exit allowances to cover the cost of a ramp to accommodate a wheelchair, higher typing costs, additional computer time/equipment return, and/or baggage allowances to cover the expense of equipment that had to be purchased rather than rented.

The Sponsoring Unit and the implementing contractor should review and approve the additional allowances on a case-by-case basis.

MAINTENANCE ALLOWANCES – Participants with disabilities must receive the same maintenance allowances as other Participants except when the individual requires a personal assistant. The personal assistant may be a spouse or adult family member who travels with the Participant, or may be someone hired upon arrival in the U.S.

Some Participants may also require an assistant who helps with school/training-related activities. For the purposes of a J-2 visa for a dependent, a dependent is defined as a spouse or child. If the Participant travels with a family member who also serves as a personal assistant, the Sponsoring Unit may reduce or waive the amount of funds required to be available in order to qualify for dependent status.

In addition, the Sponsoring Unit may increase the Participant's monthly maintenance allowance to cover the expenses incurred by the dependent up to 50 percent of the Participant's maintenance, plus an amount to cover the dependent’s health and accident insurance. USAID will only provide additional maintenance for the personal assistant and not for any other dependents that accompany the Participant and assistant. Please note that the Participant’s use of a non-family member as a personal assistant may cause the Sponsoring Unit

problems with securing the appropriate visa or establishing the appropriate mechanism to pay the personal assistant's "salary."

MEDICAL INSURANCE – The standard USAID Health and Accident Coverage (HAC) program does not cover pre-existing conditions. Sponsoring Units or the monitoring contractor must have proof that each disabled Participant has sufficient insurance coverage for the disability, as well as any other pre-existing medical condition.

253.3.3 Cost Tracking

Effective Date: 01/22/2010

Sponsoring Units must apply cost control principles for all types of Participant Training, whether U.S.-based, third-country, regional, or in-country training. The Sponsoring Units must group the cost data in a standard format that supports analytical studies, comparisons, and for IRS reporting in the case of U.S.-based training.

Sponsoring Units must use the following cost tracking categories. Sponsoring Units must group direct training expenditures under the three cost categories captured by TraiNet: Instruction, Participant, and Travel. The three cost categories below can be further defined using any detailed sub-line items if needed:

1. **INSTRUCTION** includes costs directly incurred to convey knowledge or impart training. In addition to outsourced instructional costs, Sponsoring Units must also estimate training costs embedded within a technical assistance contract or activity and not clearly separable from other expenditures. The estimates must include proportionate staff time along with other identifiable training costs. A sample list of instruction costs includes the following items or their functional equivalents:

    - Technical training program fees,
    - Instruction portion of a packaged program,
    - Academic tuition and fees, as published,
    - Books, computers, equipment, supplies, course handouts, Internet connectivity fees,
    - Dissertation/thesis expenses, production allowance,
    - Seminar/conference registration fees,
    - Workshop fees,
    - Professional society membership fees, journal and media subscriptions,
    - English language training,

- Orientations and airport meet and greet services,
- Escort/interpreter's fees, and
- Supplemental enrichment programs.

2. **PARTICIPANT** includes costs directly incurred to meet the Participant's personal needs and program requirements. A sample list of Participant costs includes the following items or their functional equivalents:

    - Maintenance allowances and per diem rates,
    - Health and accident insurance premium,
    - Medical examination fees,
    - Visa or Exchange Visitor status fees, if any,
    - W-7 certification fees (certification of non-U.S. residence for tax purposes), and
    - Federal, state, and local income taxes, if any.

3. **TRAVEL** includes costs directly incurred to transport the Participant from the home country to the training country and back, as well as costs related to travel within the training country. A sample list of travel costs includes the following items or their functional equivalents:

    - International travel costs (air, train, bus), and
    - Any travel to the training site.

Sponsoring Units must document their reason(s) for selecting higher-cost training sites or programs that on the surface appear to be functional equivalents to lower-cost alternatives.

Sponsoring Units must observe the principles of cost sharing whenever possible, but the application of cost sharing must be flexible and case-specific to the capabilities of cost-sharers, or when the award includes a cost share component. A 25 percent contribution of total training costs by other contributors is a general target. USAID may count in-kind contributions toward cost sharing when they are assigned a reasonable monetary value.

253.3.4 In-Country Training Requirement
Effective Date: 01/22/2010

Sponsoring Units must consider the option of in-country training (any training activity conducted in the host country). This option often combines instructional or classroom stimulus with procedural simplicity, and possible cost savings.

253.3.4.1 Provider Selection
Effective Date: 01/22/2010

Sponsoring Units must determine training objectives before addressing cost issues. In cases where the delivery of the actual training or education will be outsourced by an Implementer, the Sponsoring Unit must ensure that the Implementer considers the best practice of procuring training or education services through limited competition.

253.3.4.2 Travel, Lodging, and Other Logistics
Effective Date: 01/22/2010

Sponsoring Units must be guided by the following provisions related to Participant travel and lodging, Participant allowances, and other logistics:

a. Participant Travel

Sponsoring Units must purchase round-trip (if feasible), economy class airline tickets for in-country Participant travel that involves air transportation.

b. Participant Lodging

When an in-country activity requires overnight lodging, Sponsoring Units should follow the Agency best practice of arranging double-occupancy accommodations whenever feasible, except when home-stays are being arranged. Per Participant lodging costs will be significantly below standard allowance rates, which are based on single occupancy.

c. Participant Allowances

The Sponsoring Unit, in coordination with the training provider, will determine in-country long-term and in-country short-term maintenance rates, where applicable.

d. Interpreters

In cases where a Participant requires an interpreter for an in-country activity, Sponsoring Units must negotiate the interpreter's compensation for each program to obtain the lowest possible rate. USAID does not rely on Department of State rates for interpreter services as the basis for establishing interpreter fees.

Sponsoring Units must not assign Participants who know the language of training to be collateral interpreters or technical escorts while they are in Participant status, as they are not trained in interpreter or technical escort skills, and undertaking those duties would detract from their full participation in the training program.

253.3.4.3 Conditions of Sponsorship

Effective Date: 01/22/2010

The following subsections detail the minimum essential conditions of sponsorship.

a. Health and Accident Coverage (HAC)

Participants of in-country activities are **not** covered by USAID's HAC provider. Sponsoring Units must determine whether specific in-country training activities subject them to any risk of health and accident liability for medical costs Participants may incur, and if so, take appropriate steps according to local situation, including purchasing independent supplemental insurance.

b. Language Proficiency

Sponsoring Units must arrange for a language assessment if there are any doubts of a Participant's proficiency in the language in which the training activity is to be conducted, unless the Sponsoring Unit has pre-determined that an interpreter will accompany the Participant(s).

c. Program Work Load

Participants in academic degree programs (associate, bachelor's, master's degree, or doctorate) must be registered for a full-time student course load or be engaged in program-related activities on a full-time basis, as defined by the respective training institution throughout the duration of their USAID-sponsorship. Academic training programs that bridge the summer months must include the equivalent of full-time summer study.

Participants in non-degree program must be engaged in program activities or events on a full-time basis, as defined by the respective training provider.

253.3.4.4 Pre-Training Preparation and Orientation

Effective Date: 01/22/2010

Sponsoring Units must be guided by the following provisions related to pre-training preparation and orientation:

a. Stakeholder Compact

Although not mandatory for in-country training, Sponsoring Units have the option of preparing a written Stakeholder Compact for each Participant sponsored by USAID for in-country Participant Training. Individuals who accept sponsorship by USAID for training in-country enter into a relationship of mutual commitment between USAID, the contractor, the training institution, the Participant, and the Participant's employer. This relationship entails both rights and responsibilities for all parties, which are written out in a Stakeholder Compact (sometimes referred to as a Training Agreement or Objectives Memorandum). Elements of a Stakeholder Compact include:

- A description of expected work performance outcomes from training or post-training;
- An agreed-upon return-to-work date and stakeholder responsibilities in the post-training, follow-on phase;
- Suggested ways of measuring training results and changes in the Participant's post training work performance; and
- Identification of the responsible party for health provider claims.

For short training programs, the Sponsoring Unit is encouraged to develop wording for a standardized, summary Stakeholder Compact.

In cases where no employer is identified at pre-departure time (for example, with self-employed Participants, entrepreneurs, or some long-term Participants), the Stakeholder Compact is drawn between the Participant, the Sponsoring Unit, and other stakeholders. The cost-benefit of the training activity in question must be clear in meeting organizational performance goals.

b. Orientation

Pre-training orientation is an integral part of any training program. Orientations create a foundation for technical or academic training by reducing uncertainty and eliminating obstacles to learning. Orientation is particularly beneficial to Participants who will be involved in certain types of activities, like those involving an overnight stay or exposure to cultural or civil challenges in the country of training.

Orientation is normally divided into four parts: Program Objectives and Overview; Administrative and Policy Review; Cultural Aspects; and Training/Learning Methods. USAID recommends that these topics be covered in orientations for in-country Participants.

253.3.4.5 Monitoring and Reporting
Effective Date: 01/22/2010

Sponsoring Units must monitor and report on in-country programs and Participants to ensure that problems are identified and resolved quickly and that training is successful.

a. Participant Monitoring

Sponsoring Units must monitor each Participant's progress in an in-country program. At a minimum, program and Participant monitoring must show that:

- Sponsoring Units maintain current Participant contact information;
- The Participant promptly reports any change of address;
- The training program meets the original training objective or the training agreement Stakeholder Compact's requirements, if applicable;
- The Participant is enrolled in a full course of study, if in an academic program, or is regularly attending scheduled activities or sessions of a technical program;
- The Participant attains established levels of achievement; as determined by the training provider ; and
- The Participant has not developed serious personal or health problems that impair the successful completion of the program.

b. Participant Reporting

Sponsoring Units must use the Training Results and Information Network (TraiNet) to document all USAID Participants. The Office of Management and Budget (OMB), in accordance with the Paperwork Reduction Act, approved TraiNet as the official USAID Web-based training management system database. TraiNet is funded and maintained by EGAT/ED.

Sponsoring Units must enter data in TraiNet for any in-country training programs or sub-programs of two consecutive class days or more in duration, or 16 contact hours or more scheduled intermittently. However, Sponsoring Units should report any and all other in-country training events that are critical to their development efforts.

Sponsoring Units must enter selected, aggregated, in-country training data into TraiNet no less frequently than every Federal fiscal year quarter. Sponsoring Units must consolidate the training data according to training program or sub-program. The data

must be reported by program and not by individual Participants as is required for U.S.-based training. The data must include:

- Subject area of training;
- Name of the Project, Program Objective or funding Activity;
- Start and end date;
- Total number of Participants per Participant group, with gender breakdown; and
- Total cost of training for each program.

c. Required File Documentation

Sponsoring Units must retain hard (paper) copies of the following administrative file documents of Participants, dependents, and sponsored activities for a period of three years after the program end date:

- Training Request, if applicable (see **253.3.1.4**);
- Nomination/Participant selection documentation;
- Training Implementation Plan, if applicable (see **253.3.1.5**); and
- Participant tracking documentation.

253.3.5 Third-Country Training Requirements

Effective Date: 01/22/2010

Sponsoring Units must consider the option of third-country training (any training activity conducted in a country that is not the host country or the United States). This venue option often provides the content benefits of immersion and experiential learning, a focus on theory or a regional model, regional linkages, and team formation.

Third-country training must **not** take place in countries that are

- Considered unfriendly by the U.S. Department of State and to which travel by U.S. citizens is prohibited; or
- Identified as terrorist countries by the Department of State.

Only the Mission Director or Bureau Assistant Administrator may waive the restrictions outlined above in consultation with the Department of State and the Inspector General.

253.3.5.1 Provider Selection
Effective Date: 01/22/2010

Sponsoring Units must determine training objectives before addressing cost issues. In cases where the delivery of the actual training or education will be outsourced by an Implementer, the Sponsoring Unit must ensure that the Implementer considers the best practice of procuring training or education services through limited competition.

253.3.5.2 Travel, Lodging, and Other Logistics
Effective Date: 01/22/2010

Sponsoring Units must be guided by the following provisions related to Participant travel and lodging, Participant allowances, and other logistics:

a. Participant Travel

Sponsoring Units must purchase round-trip (if feasible) economy class airline tickets for Participant travel.

b. Participant Lodging

Sponsoring Units should follow the Agency best practice of arranging double-occupancy accommodations whenever feasible, except when home-stays are being arranged. Per Participant lodging costs will be significantly below standard allowance rates, which are based on single occupancy.

c. Participant Allowances

All USAID-sponsored Participants must receive no more than the prescribed USAID allowance rate, unless the Sponsoring Unit authorizes a higher rate in consideration of individual circumstances.

Sponsoring Units must not pay Participants the published allowance rates in full, without cause. Sponsoring Units must adjust payment accordingly if the full amount is not required. Sponsoring Units must make any final determinations regarding allowance adjustments, including a determination as to whether to reduce maintenance for trips outside the country of training of fewer than 30 days.

The maintenance allowances for third-country training fall into two categories that Sponsoring Units must observe: long-term training and program allowance rates and short-term training and program allowance rates.

1. Long-Term (six months or longer) Program Allowance Rates

The Sponsoring Unit must establish third country long-term (six month or longer) training allowance rates based on program needs and the prevailing practices in the location of training.

2. Short-Term (less than six months) Program Allowance Rates

Third-country short-term (less than six months) training allowance rates must not exceed foreign per diem rates established by the Department of State, Office of Allowances as maximum U.S. dollar rates for reimbursement of government civilians traveling on official business in foreign areas. For regulations pertaining to these rates, see the Standardized U.S. Government Federal Travel Regulations as established by the General Services Administration (GSA) (**41 CFR 301-7** and **301-8**).

d. Interpreters

Sponsoring Units must negotiate interpreter's compensation for each program to the lowest possible rate. USAID does not rely on Department of State rates for interpreter services as the basis for establishing interpreter fees.

Sponsoring Units must not assign Participants who know the language of training to be collateral interpreters or technical escorts while they are in Participant status, as they are not trained in interpreter or technical escort skills and undertaking those duties would detract from their full participation in the training program.

253.3.5.3 Conditions of Sponsorship

Effective Date: 01/22/2010

For long-term (6 months or longer) third-country training, Sponsoring Units must ensure that Participants sign the **Conditions of Sponsorship for Third Country Training form (form AID 1381-7)** indicating that they understand and agree to the contents of the form before accepting USAID sponsorship. This form is an optional best practice for short-term (less than 6 months) third-country training. The following subsections detail the minimum essential conditions of sponsorship:

a. Visa Compliance

Foreign nationals may be required to obtain a visa to enter the country of training. In such cases, Sponsoring Units must adequately brief Participants so that they understand the requirements and benefits of their visa status, and to meet those requirements and maintain status at all times while in the country of training.

During transit, the U.S. Government requires citizens of certain countries to go through the U.S. consular screening process even though they remain airside and do not pass through immigration control. If Participants intend to transit through the U.S. or through another country en route to the country of training, USAID expects the Participant to personally obtain the transit visa, if the country in transit does not exercise the visa-free transit regime. A C1 Transit Visa is required for transit through the U.S.

b. Dependents

USAID defines a dependent in the context of third-country training as the spouse or child of a USAID-sponsored Participant. In order to avoid a management burden and financial liability, and to minimize the possibility of non-returnees, USAID strongly discourages dependent travel. Sponsoring Units must be mindful of the possible adverse affects of dependents on program success.

Sponsoring Units must approve dependent travel for third-country programs. A Sponsoring Unit may only approve dependent travel when it is in the best interest of the Agency, or when cultural or religious norms would otherwise require a Participant Training event to be cancelled if a Participant could not be accompanied by a dependent.

The Participant bears sole responsibility for supporting his or her dependents while they are in a third country, and must show evidence of having the resources to do so. The evidence of resources should include a round-trip airline ticket (if feasible) or guaranteed round-trip airline travel for the dependent(s), as well as health and accident insurance coverage. USAID has no obligation to pay living expenses for family members who accompany a Participant.

Each Mission must establish a policy governing the travel of dependents eligible to accompany or join the Participant during third-country training. Missions may permit such Participants to bring family members to the country of training either for the full training period or for short visits so long as Participants have sufficient personal financial resources to cover related expenses. Missions or their contractors must consider first whether: a) the Participant is likely to be distracted from program goals by family obligations; and b) the separation from family during training will pose a hardship likely to affect the Participant's learning ability. Sponsoring Units must provide a pre-departure orientation for dependents.

Adequate financial expenditure estimates are based on the cost of living in the area where the Participant Training is located. A general rule is that 50% of the monthly maintenance for the area is required for each accompanying dependent. The Sponsoring Unit must consider the total number of dependents and the expected length of stay in the country of training in determining total expenditure estimates for the Dependent Certification. Sponsoring Units have the option of using **AID form 1380-5,**

Dependent Certification to document approval of dependent travel for third-country programs.

The Participant must arrange, maintain, and pay for each dependent's health insurance coverage and ensure that the insurance remains in effect for the duration of the dependent's presence in the third-country.

Participants must make sure that dependents' flight tickets do not expire (are kept updated with the issuing airline).

c. Health and Accident Coverage

Third-country training Participants must have health insurance. The health and accident insurance provider USAID uses for U.S.-based training can also provide insurance coverage for third-country training. Alternatively, Sponsoring Units may select any other provider that offers requisite coverage, which USAID can determine in consultation with knowledgeable sources in the receiving country.

d. Participant Employment

USAID-sponsored third-country training Participants can be employed in the third-country where the activity is taking place only in connection with an assistantship, on-the-job-training, or practical training experience that **is an integral, documented part of the sponsored activity** and the Sponsoring Unit approves it. As long as the employment is part of the approved program, USAID does not require special work permission.

USAID-sponsored third-country training Participants can be employed in the third-country where the activity is taking place when the employment **is not part of the approved sponsored activity**, only under the following conditions. The Sponsoring Unit must make a factual determination that:

- The Participant requires employment for an urgent and unusual need that has arisen since the Participant arrived in country. Financial needs associated with the Participant having dependents in the third-country where the activity is taking place are **not** sufficient justification for employment.

- Employment does not exceed twenty hours per week; and

- Employment does not interfere with the Participant's training preparation nor cause his or her studies to fall below the full-time level.

Sponsoring Units must approve any employment in writing in such cases when the employment is not part of the program. If at any point the Participant's training becomes

affected by the employment, the Sponsoring Unit must take steps to have the individual end the employment. Participant employment may not be approved for the purpose of supporting dependents.

When the Participant receives a salary or stipend, the Sponsoring Unit must reduce the individual's maintenance allowance by the net amount paid.

e. Language Proficiency

Unless an interpreter has been arranged, Sponsoring Units must verify that each Participant is proficient in the language of training at a sufficient level to participate in his or her program.

f. Program Work Load

Participants in academic degree programs (associate, bachelor's, master's degree, or doctorate) must be registered for credits and carry a full-time student course load or be engaged in program-related activities on a full time basis, as defined by the respective training institution, throughout the duration of their USAID-sponsorship. Academic training programs that bridge the summer months must include the equivalent of full-time summer study.

Participants in a non-degree program must be engaged in program activities or events on a full time basis, as defined by the respective training provider.

253.3.5.4 Pre-Departure Preparation and Orientation

Effective Date: 01/22/2010

Sponsoring Units must be guided by the following provisions related to pre-departure preparations and orientation:

a. Stakeholder Compact

Sponsoring Units have the option of preparing a written Stakeholder Compact for each USAID-sponsored third-country training Participant.

Individuals who accept USAID sponsorship for training in a third-country enter into a relationship of mutual commitment involving USAID, the contractor, the training institution, the Participant, and the Participant's employer. This relationship entails both rights and responsibilities for all parties. The Stakeholder Compact (sometimes referred to as a Training Agreement or Objectives Memorandum) sets out these rights and responsibilities in writing. Elements of a Stakeholder Compact include:

- A description of expected work performance outcomes from training or post-training;

- An agreed-upon return-to-work date and stakeholder responsibilities in the post-training, follow-on phase;
- Suggested ways of measuring training results and changes in the Participant's post training work performance; and
- Identification of the responsible party for health provider claims.

For short training programs, the Sponsoring Unit should develop wording for a standardized, summary Stakeholder Compact linked to the **Conditions of Sponsorship for Third Country Training form (form AID 1381-7)**.

In cases where the agreement does not identify an employer at pre-departure time (for example, with self-employed Participants, entrepreneurs, or some long-term Participants), the Stakeholder Compact is drawn between Participant, the Sponsoring Unit, and other stakeholders. The cost-benefit of the training activity in question must be clear in meeting organizational performance goals.

b. Pre-Departure Orientation

Sponsoring Units must conduct pre-departure orientation for third-country programs. Pre-departure orientation is an integral part of any training program and creates a foundation for technical or academic training by reducing uncertainty and eliminating obstacles to learning. Participation by the sponsoring project manager, technical office teams, Mission training staff, host country officials, and returned USAID Participants may be valuable, particularly when group orientations are held.

Pre-departure orientation is typically divided into four parts: Program Objectives and Overview; Administrative and Policy Review; Cultural Aspects; and Training/Learning Methods. These topics should be covered in orientations for third-country Participants.

1. Program Objectives and Overview

The Sponsoring Unit, implementing partner, and stakeholders agree on the objectives, content, and logistics of the training activity, return to work date, itinerary, and the institutional change that the training is expected to support. Participants must understand the relationship of their training activity to the USAID program and host country development plan and what their responsibilities are in return.

Differences in academic procedures and expectations between the home country and the country of training must be explicitly discussed with the Participant. This is particularly important when differences in academic relationships and teaching systems could hinder the Participant's integration into the training program, and thus constrain learning.

2. Administrative and Policy Review

An oral review of the administrative aspects of the training must be thorough and careful. Uncertainty about logistics, scheduling, or administration can be stressful for some Participants. The Review must include:

- A completed Participant Pre-Departure Checklist completed by the Sponsoring Unit and a copy given to the Participant;

- A **Conditions of Sponsorship for Third Country Training form (form AID 1381-7)** signed by the Participant and a Sponsoring Unit official;

- When applicable, the Stakeholder Compact to confirm the Participant's understanding of responsibilities as a USAID-sponsored Participant; agreement with the training objectives and anticipated results; the requirement to return to the home country upon completion of the training; and the consequences of failing to do so. The Mission retains one copy of these documents; the other is given to the Participant. The Mission sends a copy to an Implementer, when necessary.

- USAID policies and rules on per diem payments, employment, operation of automobiles, dependents, and other similar issues;

- Travel plans, including reservations, tickets, arrival, and airport arrangements, security procedures at the port of entry, date of departure, and date of arrival in and departure from the country of training;

- Explanation of health and accident insurance coverage and limitations must make clear that USAID is not responsible for claims in excess of the coverage provided or for claims ineligible for coverage.

- Emergency contact information for Participants in distress in the third country.

- The requirement to return home immediately upon completion of the program and penalties for failing to do so.

- An explanation of maintenance and other allowances. The Participant is advised, in writing, that USAID will pay no legal fees on behalf of a Participant if the Participant is arrested or otherwise required to obtain legal counsel, and that the Sponsoring Unit will reduce maintenance rates if the Participant receives any additional income in the form of a scholarship, assistantship, or wages;

- Hotel and housing arrangements and an explanation of the financially responsible party.

- Participant's physical mailing address (not a P.O. Box).

- Emergency contact numbers in the Mission so that family members can contact Participants in an emergency.

3. Cultural Aspects

Participants and their dependents who travel to the third country to join them require a brief introduction to life in the country of training, which includes some understanding of the culture, climate, clothing, foods, religions, and other customs, as well as some information on political differences and personal safety. Returned Participants are particularly useful guests at orientation because they can give first-person accounts of awkward cultural situations that the Participants might encounter.

The orientation must stress appropriate behavior in male-female relationships and interaction in the country of training, especially as regards minor children. Films, videotapes, the Internet, books, role playing, and other resources can be used to raise awareness of beliefs, behavioral patterns, social manners, and similar key cultural standards.

4. Methods of Learning

The pre-departure orientation must explain the interactive nature of classroom discussion, in which Participants are expected to express their own thoughts and analyses of problems. Many third-country training programs require a minimum level of computer literacy, for example, for Internet or library searches. Such instruction must be provided in the home country as needed, wherever possible.

253.3.5.5 Monitoring and Reporting

Effective Date: 01/22/2010

Sponsoring Units must monitor and report on programs and Participants.

a. Participant Monitoring

Sponsoring Units must monitor each Participant's progress in a third country to ensure that problems are identified and solved quickly and that the training is successful. At a minimum, monitoring must confirm that:

- The Participant has arrived and settled into appropriate living quarters.

- The Participant promptly reports any change of address;
- The training program meets the original training objective or the training agreement (Stakeholder's Compact) requirements, if applicable,
- The Participant is enrolled in a full course of study, if in an academic program, or is regularly attending scheduled activities or sessions of a technical program;
- The Participant attains established levels of achievement; as determined by the training provider
- The Participant does not develop serious personal or health problems that impair the successful completion of the program; and
- The Sponsoring Unit makes departure arrangements for the Participant upon the completion, end, or termination of the program. The Sponsoring Unit arranges a debriefing with the Participant.

Sponsoring Units must maintain current Participant contact information in the country of training of all Participants.

b. Non-Returnees and Recovery of Training Costs

USAID considers any Participant Training program to include travel from the country of training to the Participant's home country in addition to the technical or practical components of the program; therefore, the end date of a Participant's program is the day that the Participant returns to his or her home country from the country of training. A Participant must depart the country of training within three calendar days (seven calendar days for long-term programs) after the last technical or practical activity of his or her program unless circumstances arise that would preclude such departure and the Sponsoring Unit gives the Participant written approval for a later return date.

USAID-sponsored Participants must return to their home country immediately upon departure from the country of training. Sponsoring Units must make continuous efforts to see that Participants do so. Careful selection of Participants, predetermination of Participants' employer's or Participants' affiliated organization's commitment to the training program, progress monitoring, and tracking Participants' post-activity whereabouts will help ensure that Participants' return to their home country when training ends.

Sponsoring Units must track the departure status of their Participants and follow up promptly if a Participant fails to return home after completion of his or her USAID program.

The Sponsoring Unit is responsible for the determination, in writing, that the Participant is a non-returnee. Once that determination is made, the Sponsoring Unit must then initiate actions on behalf of the U.S. Government to recover the Participant's training costs in accordance with USAID procedures. USAID must retain information about the training costs in the Participant's file and also record the costs in TraiNet.

The signed **Conditions of Sponsorship for Third Country Training form (form AID 1381-7)**, is one legal instrument USAID uses to collect training costs from Participants who fail to return home upon completion of their program.

The Sponsoring Unit will determine the appropriate collection action for non-returnees from third-country training based on a number of considerations. The Sponsoring Unit must document procedures for handling non-returnee cases and include them in a Mission Training Order or Mission Directive.

Sponsoring Units must retain all administrative file documents of Participants for a period of three years after the program end date. These saved documents will provide written evidence substantiating any indebtedness to the USG in the event that USAID later determines a Participant to have been a non-returnee with a debt to the USG. (**ADS 625.3.6.7c**)

c. Participant Arrest

Sponsoring Unit partner organizations (Implementers, contractors, and recipients) must notify the Sponsoring Unit when Participants are arrested, immediately and in writing. Neither USAID nor the Participant's monitoring agent (implementing contractor) must aid or abet the Participant's departure from the third country prior to the date of trial. If a Participant must remain past the anticipated return date for reasons related to arrest and trial, the implementing contractor, with approval of the Sponsoring Unit, must make financial arrangements for appropriate accommodations until the Participant's trial is over and the court renders a final legal determination.

d. Participant Reporting

Sponsoring Units must use the Training Results and Information Network (TraiNet) to document all USAID Participants. TraiNet is the Agency-wide database training management system, jointly supported by EGAT/ED and the Bureau for Management, Office of the Chief Information Officer, Division of Software Development Maintenance (M/CIO/DS).

Sponsoring Units must enter program data for third-country training in the TraiNet database no less frequently than the end of each Federal fiscal year quarter. Sponsoring Units must consolidate the training data according to training program or sub-program, as is required for in-country training. The data must include:

- Subject area of training;
- Name of the Project, Program Objective, or funding Activity;
- Start and end date;
- Total number of Participants per Participant group, with gender breakdown; and
- Total cost of training for each program.

Sponsoring Units have the option of entering individual Participant data for third-country training in the TraiNet database.

e. Required File Documentation

Sponsoring Units must retain hard (paper) copies of the following administrative file documents of Participants, dependents, and sponsored activities for a period of three years after the program end date:

- Training Request, if applicable (see **253.3.1.4**);
- Nomination/Participant selection documentation;
- Participant's biographical data;
- Face page of Participant's passport or national identification card;
- Signed **Conditions of Sponsorship form for Third-Country Training (form AID 1381-7)**;
- Training Implementation Plan, if applicable (see **253.3.1.5**);
- Pre-departure orientation checklist;
- Stakeholder Compact, if applicable (see **253.3.5.4**); and
- Participant tracking documentation.

253.3.6 Regional Training

Effective Date: 01/22/2010

Sponsoring Units should consider the option of regional training, based on regional development objectives and the availability of regional funding. Regional Participant Training brings together Participants from multiple countries into one location. Regional

training provides the content benefits of immersion and experiential learning, a focus on a theoretical or a regional model, and regional and multi-national team formation.

Sponsoring Units must be guided by the following provisions related to regional training:

a. Regional Training Defined

Regional Training is Participant Training (see **253.1**) that is funded by a Sponsoring Unit using regional funds, the results of which will be reported on a regional and/or multi-national basis, as opposed to Participant Training that is reported only on a specific country basis.

Participant Training supported by Missions funding Participants from multiple countries to attend the same training activity in the same location using individual country bi-lateral funds, the results of which are to be reported on a country-specific basis, are **not** considered regional training. Such activities are considered to be either in-country (see **253.3.4**), third-country (see **253.3.5**), or U.S.-based (see **253.3.7**) training activities, respectively.

b. Reporting Regional Training

Sponsoring Units must use the Training Results and Information Network (TraiNet) to document all USAID Participants sponsored for regional Participant Training. TraiNet provides a dedicated screen for reporting data on regional training and capacity development programs. TraiNet is the Agency-wide database training management system, jointly supported by EGAT/ED and the Bureau for Management, Office of Information Resources Management, Division of Software Development Maintenance (M/IRM/SDM).

Sponsoring Units must enter data in TraiNet for regional programs no less frequently than every Federal fiscal year quarter.

c. Required Policy and Procedures

Policy and procedures applicable to regional training Participants and their Sponsoring Units depend upon Participants' country of permanent residence and the location of the regional training.

- IN-COUNTRY – Participants who reside in the same country where a regional training activity is taking place must refer to the In-Country Training section of this directive for applicable policy and procedures (see **253.3.4**);

- THIRD-COUNTRY – Participants who reside outside the country where a regional training activity is taking place, when the activity is not taking

place in the U.S. must refer to the Third-Country Training section of this directive for applicable policy and procedures (see **253.3.5**);

- U.S.-BASED – Participants who reside outside the country where a regional training activity is taking place, when the activity is taking place in the U.S. must refer to the U.S.-Training section of this directive for applicable policy and procedures (see **253.3.7**).

253.3.7 U.S.-Based Training Requirements

Effective Date: 01/22/2010

Sponsoring Units must consider the option of U.S.-based training (any training activity conducted in the United States). This venue option often provides the content benefits of immersion and experiential learning, a focus on theory or a U.S. model, U.S. institutional and social linkages, and team formation.

*253.3.7.1 Provider Selection and Tuition Guidelines

Effective Date: 04/13/2010

Sponsoring Units must be guided by the following provisions related to training or education provider selection, and tuition and administrative fees:

a. Training or Education Provider Selection

Sponsoring Units must determine training objectives before addressing cost issues. In cases where the delivery of the actual training or education will be outsourced by an Implementer, the Sponsoring Unit must ensure that the Implementer considers the best practice of procuring training or education services through limited competition.

In accordance with **Presidential Executive Orders 12876**, **12900**, and **13021**, Sponsoring Units must endeavor, to the maximum extent possible, to maintain the use of Historically Black Colleges and Universities (HBCUs) and other Minority Serving Institutions (MSIs), including Hispanic Serving Institutions and Tribal Colleges and Universities, as training or education providers.

*b. Tuition and Administrative Fee Caps

Sponsoring Units should determine training objectives before considering costs. At the same time, Sponsoring Units must observe general caps on total tuition and administrative fees at long-term training sites, for programs lasting six months or more.

The Mission Director (or Officer Director for Washington-initiated programs), or their designees, are authorized to waive these caps in individual instances, with a written justification specifying why the cap is not in the cost-benefit interest of the Sponsoring Unit.

The following tuition cap figures are based on general rates for current undergraduate and graduate out-of-state students, and are subject to periodic review and adjustment by EGAT/ED. They are adjustable for the actual costs and special needs of USAID-funded Participants:

- Undergraduate enrollment: *$22,514 per standard U.S. academic year, for the institution's tuition and administrative fees; and

- Graduate enrollment: *$27,579 per standard U.S. academic year, for the institution's tuition and administrative fees.

A five percent inflation factor may be added to the tuition cap in each successive year, starting with the 2010-2011 academic year.

253.3.7.2 Travel, Lodging, and Other Logistics

Effective Date: 01/22/2010

Sponsoring Units must be guided by the following provisions related to Participant travel and lodging, allowances, and other logistics:

a. Participant Travel

Sponsoring Units must purchase round-trip (if feasible), economy class airline tickets for Participant travel. All USAID-funded travel must be purchased in compliance with the **Fly America Act**. Travel must take place on U.S.-registered carriers, unless such carriers do not operate in a host country, in which case Participants must be transferred to a U.S.-registered carrier at the first practical exchange point. Entry to and exit from the U.S. must be on a U.S.-registered carrier (see **49 U.S.C. Sec 40118**, known as the Fly America Act). Travel funded by non-USAID sources is not necessarily limited to U.S. flag carriers.

b. Participant Lodging

Sponsoring Units should follow the Agency best practice of arranging double-occupancy accommodations whenever feasible, except when home-stays are being arranged.

c. Participant Allowances

All USAID-sponsored Participants must receive no more than the prescribed USAID allowance rate, unless the Sponsoring Unit authorizes a higher rate in consideration of individual circumstances.
Sponsoring Units must not pay Participants the published allowance rates in full, without cause. Sponsoring Units must adjust payment accordingly if the full amount is not required. Sponsoring Units must make final determinations regarding allowance adjustments, including a determination as to whether to reduce maintenance for trips outside the U.S. of fewer than 30 days.

Maintenance allowances fall into two categories that Sponsoring Units must observe: long-term training and program allowance rates and short-term training and program allowance rates.

1. Long-Term (six months or longer) Program Allowance Rates

Long term program allowance rates are used when Participants are enrolled in programs that are six months or longer, take place in academic institutions, and result in an academic degree or a technical certificate of completion.

The Institute for International Education (IIE) for the Department of State researches and publishes the long-term training allowance rates for U.S. training sites which are available on request. USAID uses these rates to guide its long-term training monthly maintenance; however, Sponsoring Units have the flexibility to determine the final rate allowances that are reflected in the training budget. Allowances that are not considered appropriate are not to be paid. In some instances, a Participant may not need the entire range of potential cost elements.

Sponsoring Units must raise or reduce allowances based on the actual cost of the program. The program COTR or AOTR must have documented justification to support increased or reduced allowances.

Not all Department of State allowances apply to USAID Participants. Only those allowances listed below must be used to calculate allowances for USAID Participants.

- Books and supplies: $1,000 per academic year; $300 per summer term (includes English language programs).
- Supplementary book allowance: Up to $300 per year (accountable).
- International travel: Round trip (from home to training site and return), unless provided by another funding source as cost-sharing.
- Monthly maintenance: As provided in published rates (IIE rates for academic programs, GSA rates for technical programs). Rates may be adjusted to fit specific needs.
- Return baggage allowance (for long-term training): $300.
- Thesis allowance: $500 for master's (discretionary) and $1,000 for doctorate (increase possible if required).

- Incidental allowance if required for travel between multiple sites: $20 per day.

- Book shipment: Discretionary, $50 for each semester or quarter, or other amount set by Mission or Washington Office COTR/AOTR.

- Professional societies: Discretionary, $275 for a two-year period, or other amount set by Mission or Washington Office COTR/AOTR.

- Student memberships: Discretionary, $75/year.

- Property damage insurance: Discretionary, amount set by Mission or Washington Office COTR/AOTR, to provide Participants enrolled in long-term training or in other instances as deemed appropriate.

The Participant may be eligible for expense reimbursement for the following cost elements. Sponsoring Units make reimbursement decisions on a case-by-case basis.

- Research projects

- Computer purchases

- Internet access fees

- Tutors

- Excess thesis expenses

- Book purchases in excess of the established rate

- Book shipments

- Professional society memberships

- Student memberships

2. Short-Term (less than six months) Program Allowance Rates

U.S. short term (fewer than six months) program allowance rates (such as standard per diem rates) are based on the General Services Administration (GSA)'s Standardized U.S. Government Federal Travel Regulations, as established by the General Services Administration (GSA). These rates are found at **41 CFR 301-7** and **301-8**.

USAID reminds Sponsoring Units that they must reduce maintenance allowances by the amount equal to any additional money that a Participant directly receives in the form of a scholarship, stipend, assistantship, or wages (see **253.3.1.4(b)**). Participants must receive only the amount that the Sponsoring Unit establishes based on the prescribed rate.

d. Interpreters

Sponsoring Units must negotiate interpreter's compensation for each program to the lowest possible rate. USAID does not rely on Department of State rates for interpreter services as the basis for establishing interpreter fees.

Sponsoring Units must not assign Participants who know English to be collateral interpreters or technical escorts while they are in Participant status, as they are not trained in interpreter or technical escort skills, and undertaking those duties would detract from their full participation in the training program.

253.3.7.3 Conditions of Sponsorship

Effective Date: 01/22/2010

All Participants must sign a **Conditions of Sponsorship for J-1 Visa Holders form, (Form AID 1381-6)**, before they can receive USAID sponsorship. The Participant should sign a copy in his or her primary language if a translation is available. Sponsoring Units must use the most recent version of this form (dated 11/2007 or later). **ADS 252** provides further policy related to the handling of the form. The following subsections detail the minimum essential conditions of sponsorship:

1. Visa Compliance

Sponsoring Units must review and adhere to the provisions in **ADS 252**, which provides guidance regarding U.S. visa compliance for Agency-sponsored individuals. With few exceptions, any foreign national whom USAID sponsors fully or partially, directly or indirectly, for Participant Training activities in the U.S. must enter the U.S. on a J-1 visa (non-immigrant Exchange Visitor visa) processed under a USAID Exchange Visitor program number (see **ADS 252**).

2. Dependents

ADS 252 provides guidance regarding travel to the U.S. for dependents of Agency-sponsored Participants. In order to avoid financial liability and to minimize the possibility of non-returnees, USAID strongly discourages dependent travel (see **ADS 252.3.4**).

Each Mission must establish a policy governing the travel of dependents eligible to accompany or join the Participant during U.S.-based training. Missions may permit such Participants to bring family members to the U.S. on J-2 visas either for the full

training period or for short visits only if Participants have sufficient personal financial resources to cover related expenses. Missions or their contractors must consider first whether: a) the Participant is likely to be distracted from program goals by family obligations; and b) the separation from family during training will pose a hardship likely to affect the Participant's learning ability. Missions must provide, or the implementing contractor must provide, a pre-departure orientation for dependents.

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

Adequate financial expenditure estimates are based on the cost of living in the area where the Participant Training is located. A general rule is that 50% of the monthly maintenance for the area is required for each accompanying dependent, in addition to the cost of a round trip airline ticket. The Sponsoring Unit must consider the total number of dependents and the expected length of stay in the U.S. in determining total expenditure estimates for the **Dependent Certification, AID form 1380-5**. The cost of travel and health and accident coverage is in addition to the 50% per Participant cost of living calculation.

The Participant must arrange, maintain, and pay for each and every dependent's health insurance coverage and ensure that the insurance remains in effect for the duration of the dependent's presence in the U.S. Participants may obtain information on dependent health insurance coverage in the United States from the Foreign Student Advisor at academic institutions or by writing to the National Association for Foreign Student Affairs.

Participants must make sure that dependents' flight tickets do not expire (are kept updated with the issuing airline).

Sponsoring Units must ensure adherence to Security Risk and Fraud Inquiries (SRFIs), J visa requirements, and all other Homeland Security regulations that relate to spouses and dependents, including updating TraiNet data for any changes in the dependent's location (see **ADS 252**).

3. Two-Year Residency Requirement

ADS 252 provides guidance regarding the two-year residency requirement for Agency-sponsored individuals. **Section 212(e) of the Immigration and Nationality Act (8 USC § 1182)** requires that J-1 visa holders reside for a total of 24 months, either consecutively or non-consecutively, in the respective host country before qualifying to apply for certain types of non-immigrant visas (for example, H-1 or L-1) or legal permanent residence in the U.S. – commonly known as a green card (see **ADS 252**).

4. Health and Accident Coverage

Sponsoring Units must enroll all Participants whose training in the U.S. is wholly or partially financed by USAID in the Agency's Health and Accident Coverage (HAC) Program.

a. Coverage

The HAC Program covers the "usual, customary, and reasonable" charges for required medical services with a small co-payment. HAC coverage begins the day the Participant leaves the home country and remains in effect until the date of return to the home country (by the most direct route).

HAC coverage arranged under the EGAT/ED contract applies only to U.S. training and travel to and from the home country. At a Mission's request, the Agency's HAC contractor can also provide coverage for training that takes place outside the U.S. Individuals who travel under invitational travel or who receive an exemption from use of the J-1 visa may also access the USAID HAC program coverage.

Please note that USAID is not responsible for any medical claims in excess of the coverage provided by the HAC program or for medical claims ineligible for coverage under the HAC program.

Sponsoring Units must review USAID HAC program details on supplemental insurance coverage for pre-existing conditions before making a final decision on insurance coverage. (This type of coverage is known as "pre-ex coverage.") The contractor's Web site is http://www.hthworldwide.com/.

The insurance provider offers a wide range of packages, and Sponsoring Units or their contractors may select any number of options in addition to the basic mandatory coverage that meets the requirements in **22 CFR Part 62, The Exchange Visitor Program**.

HAC Plan A and Plan B both require a medical exam. Therefore, the choice of either of these insurance options lessens the chance that large uncovered claims will result from an undetected a pre-existing condition. Both plans also have options to cover pre-existing conditions up to $10,000.

HAC Plan C provides an option for Sponsoring Units to exempt Participants from the required medical exam for programs of thirty days or fewer, including travel time. Unless the Participant has HAC Plan C coverage, failure to agree to undergo a medical examination terminates further processing of a Participant application. Plan C is not to be used if the Participant previously failed a HAC medical examination. However, in these cases, the Participant can be covered under plan A or B, using an insurance rider for pre-existing conditions up to $10,000.

Coverage for HIV/AIDS-related medical claims must be confirmed by the Sponsoring Unit and Participant through contact with the individual health care provider. Sponsoring Units must not assume that coverage for HIV/AIDS is provided unless it is contained, in writing, in the individual policy.

b. Medical Eligibility

Participants must undergo a medical examination and receive a Certification of Medical Eligibility for admission to the U.S. on a J-1 visa unless the Sponsoring Unit has approved the use of HAC plan C.

Sponsoring Units may purchase insurance under the new designation of "Plan C" from the Agency's HAC contractor. Plan C provides coverage up to a maximum of $50,000 per injury/illness, and meets the coverage provided in Plan A. The new Plan C is only for programs of 30 days or fewer, including travel time, and requires no Participant medical exam.

Please note that unless Sponsoring Units purchase the additional pre-ex coverage, Plan C will not cover any medical claims for pre-existing conditions, nor are there funds available in EGAT/ED to cover any unpaid claims. Sponsoring Units must identify the party responsible for the payment of any claims not covered by Plan C before a Participant travels. Claims not covered by Plan C may be paid by the Sponsoring Unit, the Participant, or the Participant's employer, or by another source. The Stakeholder Compact must include identification of the responsible party for medical insurance claims stemming from a pre-existing condition.

c. Double Coverage By Educational Institutions Or Others

In some cases, USAID Participants enrolled in an educational institution or other training program may also be covered by a mandatory health program sponsored by that institution with the cost included in tuition or a separate mandatory fee. USAID contractors may pay the cost of the double coverage providing that the cost of such plan does not exceed that required of all other students or all other foreign students. Other coverage does not exempt USAID Participants studying in the U.S. from the Agency HAC Program, which is mandatory.

Participants with such double coverage are required to submit claims to the institution's insurance or health facilities before employing the HAC program. The HAC contract administrator must ensure that claims submitted to HAC have first exhausted the coverage of the other plans.

d. Repatriation Of Terminally Ill Or Incapacitated Participants

Except as provided below, a USAID Participant must be repatriated to his or her country of origin if diagnosed with a mental or physical disease or disorder that will

unduly delay or prevent the Participant's successful completion of the training program.

The Agency may waive this requirement only if EGAT/ED, the cognizant Mission Director, and the cognizant central or regional Bureau provide the Sponsoring Unit with concurrent approval.

In cases of terminally ill or incapacitated Participants, HAC will cover medical costs only until the point of repatriation at home country port of entry. If repatriation is delayed for medical reasons, HAC coverage will terminate as of the first date a physician deems the Participant medically able to travel.

e. Submission of Claims

The Participant is ultimately responsible for ensuring that all claims for medical services are submitted to the insurance provider.

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

f. Payment of Monthly Premiums

The Sponsoring Unit must submit premium payments within the deadline established by the provider. Non-payment of monthly invoices may trigger automatic suspension of all HAC insurance under the Participant contract until full payment is received by the provider.

g. Medical Examination and Certification Form

The **Medical Examination and Certification Form (AID Form 1382-1)** consists of three main parts: 1) A medical history completed by the prospective Participant; 2) a medical examination by a physician; and 3) post examination Mission administrative review, signed by the USAID-designated official.

(Note: Pursuant to the following waiver procedures, whenever a foreign language Medical Examination and Certification Form is sent to the Sponsoring Unit or an Implementer, an English language translation must accompany a copy of the medical waiver to the USAID HAC provider.)

1. Medical History

The applicant or prospective Participant must complete and sign the first page of the Medical Examination form. The applicant/Participant must understand that his or her signature certifies both the truthfulness of responses to the best of his/her knowledge and understanding of the "Important Notice" on the first page.

2. Medical Examination

The Sponsoring Unit must provide the examining physician with the **Guide to Medical Fitness Standards for Applicants (AID Form 1382)** which the examining physician uses to record the results of the examination, summarize the findings, and make a recommendation as to whether the applicant is medically qualified for training.

The standard examination includes tests for most medical conditions that can result in costly medical treatment and/or impair the achievement of training objectives. Missions, however, may add additional tests in cases when patterns of undetected Participant illness emerge or the prevalence of local medical conditions warrants.

Sponsoring Units may elect to test for HIV/AIDS. If a Sponsoring Unit elects to do so, tests results must be added to the other test information on Page 2 of the medical form. Sponsoring Units must recognize that whether or not they elect to test applicants for HIV/AIDS, HAC insurance does not cover AIDS-related medical expenses incurred by Participants during training. The Sponsoring Unit must take responsibility to either secure additional coverage, underwrite the treatment costs from Mission funds (or Bureau funds in the case of centrally funded training), or defer the cost to the Participant, the Participant's employer, or another party. EGAT/ED cannot provide any funds to cover medical costs incurred by Participants.

3. Post-Examination Administrative Review and Determination of Applicant Medical Suitability

Mission decisions resulting from the medical examination are documented on the final page of the form. Specifically, the Mission training officer or designee considers the recommendations of the examining physician as well as program objectives and recommends the applicant's approval or disapproval for training. The designated Mission officer then reviews that determination. The Mission reviewing officer may be the Contracting Officer's Technical Representative or Agreement Officer's Technical Representative (COTR/AOTR), or a delegation of authority may be completed to assign this responsibility to an FSN, PSC, or contractor. The form provides space to note who will be responsible for claims related to pre-existing conditions.

h. Validity Limit

The Participant's medical examination is valid for four months. Participants who delay their arrival in the U.S. for more than four months, or who during their U.S. program are absent from the U.S. for four months or longer, must take a medical re-examination and receive another medical certification.

i. Medical Waiver Approval

Before a Mission or Bureau can execute a waiver of HAC coverage for medical claims arising from a Participant's pre-existing conditions, they must ensure that they have the funds to pay contingent claims, other medical insurance is available to cover such claims, or other third parties (such as the Participant, family, or host government) are prepared to pay such claims. The Mission or Bureau is responsible for arranging for the prompt payment of such claims if and when they arise. If the Mission or Bureau itself pays such claims, payment does not preclude the Mission or Bureau from seeking reimbursement from a third party.

To waive the Medical Certification requirement, the Mission Director or designee must approve an applicant with a pre-existing medical condition that otherwise would disqualify the individual from the training program. This determination may be based on two grounds:

- That the medical condition is not likely to be activated or aggravated during the period of training; or

- That program objectives or other considerations require that the training be approved in spite of the possible cost of medical claims to Mission/Bureau funds.

If a waiver is approved, the HAC Program will not cover the Participant for the specific pre-existing medical condition identified on the **Guide to Medical Fitness Standards for Applicants (AID Form 1382)** and which would otherwise have been disqualifying. Therefore, the Sponsoring Unit, Participant, Participant's employer, or third-party insurer designated as responsible for covering claims must make arrangements to guarantee payment of any medical claims that may arise from the illness or medical conditions for which HAC coverage was waived.

The following officials can approve medical waivers:

- For Mission-funded Participants, the Mission Director, designee, or COTR/AOTR.

- For region-funded Participants where there is no USAID Mission, by the regional Assistant Administrator or designee.

- For Washington office-funded Participants, by the Office Director, his or her designee, the COTR/AOTR, or any responsible official knowledgeable about the risk involved with committing funds to cover the costs of medical claims for waived conditions.

The Participant's Sponsoring Unit must supply the Agency's HAC provider with the executed medical waiver, including a copy of the medical examination (with English

translation if it is in a foreign language), and a statement of the funding source to cover possible waived claims.

In the event the Sponsoring Unit does not intend to cover the cost of any medical claims related to a pre-existing condition, it must draft the routine letter(s) that reflect the waived condition and require the acknowledgement of the Participant or a third party are to be drafted and signed, as appropriate. The Sponsoring Unit must ensure that the party responsible for costs related to a waived condition sign and return the letter of commitment to the Sponsoring Unit prior to the travel of the Participant in question.

j. Plan C Travel/Training Program Of 30 Days Or Fewer

Statements providing clear identification of the parties responsible for the payment of claims not covered by Plan C must be on file with the Sponsoring Unit and the monitoring contractor. EGAT/ED will not cover any claims Plan C does not cover. Sponsoring Units must select to cover the expenses themselves or have a letter of guarantee from the Participant, the Participant's employer, or another party before Participants coming to the U.S. can utilize Plan C.

Any Participant who tests positive for HIV/AIDS who is scheduled to attend a program of 30 days or less cannot use Plan C.

5. Participant Employment

USAID-sponsored Participants for U.S.-based training can be employed in the U.S. only in connection with an assistantship, on-the-job-training, or practical training experience that **is an integral, documented part of the sponsored activity** and the Sponsoring Unit approves it. As long as the employment is part of the approved program, USAID does not require special work permission.

USAID-sponsored Participants for U.S.-based training can be employed in the U.S. when the employment **is not part of the approved sponsored activity**, only under the following conditions. The Sponsoring Unit must make a factual determination that:

- The Participant requires employment for an urgent and unusual need that has arisen since the Participant arrived in the U.S. Financial needs associated with the Participant having dependents in the U.S. are **not** sufficient justification for employment.

- Employment does not exceed twenty hours per week; and

- Employment does not interfere with the Participant’s training preparation nor cause his or her studies to fall below the full-time level.

Sponsoring Units must approve the employment in writing in such cases where the employment is not part of the program. If at any point the Participant's training becomes affected by the employment, the Sponsoring Unit must take steps to have the individual end the employment. Participant employment must not be approved for the purpose of supporting dependents.

When the Participant receives a salary or stipend, the individual's maintenance allowance must be reduced by the net amount paid.

Sponsoring Units must inform the USAID Responsible Officer or Alternate Responsible Officers in EGAT/ED of all Participant employment (see **ADS 252**).

6. Language Proficiency

Sponsoring Units must verify that each Participant is proficient in English at a sufficient level to participate in his or her program, if the Participant will undertake a U.S.-based training program conducted in English. Sponsoring Units must designate the party responsible for assessing English competency. English language competency can be verified through a variety of means including interviews, publications, presentations, past education conducted in English, and formal testing. Even if accompanied by an interpreter, each Participant must have sufficient English language skills to understand and respond to basic questions at the port of entry.

In certain cases, a Participant may not initially have sufficient English proficiency to qualify for an academic program in the U.S. However, if the program includes an introductory English language instruction sufficient to prepare the Participant for the rest of the program, the Sponsoring Unit may approve the Participant for the program.

For more specific guidance on assessing English language competency or for assistance in obtaining formal tests, please contact EGAT/ED/PT (see **253.2**).

7. Program Work Load

Participants in academic degree programs (associate, bachelor's, master's degree, or doctorate) must be registered for credits and carry a full-time student course load or be engaged in program-related activities on a full-time basis, as defined by the respective training institution throughout their stay in the U.S. Academic training programs that bridge the summer months must include the equivalent of full-time summer study.

Participants in non-degree programs must be engaged in program activities or events on a full time basis, as defined by the respective training provider.

*253.3.7.4 Pre-Departure Preparation and Orientation

Effective Date: 04/13/2010

Sponsoring Units must be guided by the following provisions related to pre-departure preparations and orientation:

*a. Stakeholder Compact

Sponsoring Units must prepare a written Stakeholder Compact for each Participant USAID sponsors for U.S.-based Participant Training programs that are more than three days in duration. Preparing a Stakeholder Compact is optional for U.S.-based programs that are three days or less in duration.

Individuals who accept USAID sponsorship enter into a relationship of mutual commitment involving USAID, the contractor, the training institution, the Participant, and the Participant's employer. This relationship entails both rights and responsibilities for all parties. The Stakeholder Compact (sometimes referred to as a Training Agreement or Objectives Memorandum), sets out these rights and responsibilities in writing. Elements of a Stakeholder Compact include:

- A description of expected work performance outcomes from training or post-training;
- An agreed-upon return-to-work date and stakeholder responsibilities in the post-training, follow-on phase;
- Suggested ways of measuring training results and changes in the Participant's post-training work performance; and
- Identification of the responsible party for health provider claims if the Sponsoring Unit agrees to Plan C under the mandatory health insurance program.

For short training programs, the Sponsoring Unit is encouraged to develop wording for a standardized, summary Stakeholder Compact linked to the **Conditions of Sponsorship for J-1 Visa Holders (AID 1381-6)**.

In cases where no employer is identified at pre-departure time (for example, with self-employed Participants, entrepreneurs, or some long-term Participants), the Stakeholder Compact is drawn between the Participant, the Sponsoring Unit, and other stakeholders. The cost-benefit of the training activity in question must be clear in meeting organizational performance goals.

b. Pre-Departure Orientation

Sponsoring Units must conduct pre-departure orientation for U.S.-based programs (see also **ADS 252.3.6**). Orientation programs are typically organized by the Participant programming contractor and create a foundation for technical or academic training by reducing uncertainty and eliminating obstacles to learning. Participation by the sponsoring project manager, or Assistance Objective (AO) team, Mission training staff, host country officials, and returned USAID Participants may be valuable, particularly when group orientations are held.

In the case of effective U.S-based English language training programs, orientation incorporates American cultural and generalized administrative information, international travel guidance, and exercises drawing on everyday life in the United States. (Language programs incorporating such material are not a substitute for pre-departure orientation.)

Pre-departure orientation is normally divided into four parts: Program Objectives and Overview; Administrative and Policy Review; Cultural Aspects; and Training/Learning Methods. These topics must be discussed in orientations for U.S. Participants.

1. Program Objectives and Overview

The Sponsoring Unit, programming contractor, and stakeholders agree on the objectives, content, and logistics of the training activity, return to work date, itinerary, and the institutional change that the training is expected to support. Participants must understand the relationship of their training activity to the USAID program and host country development plan, and what their responsibilities are in return.

Differences in academic procedures and expectations between the home country and the U.S. must be explicitly discussed. This is particularly important since differences in academic relationships and teaching systems could hinder the Participant's integration into the training program and hence, learning.

2. Administrative and Policy Review

The administrative and policy review of the training must be thorough and careful to avert any potentially stressful uncertainty about program logistics, scheduling, or administration. During the review,

- The Sponsoring Unit and programming contractor must complete a Participant Pre-Departure Checklist and share a copy with the Participant.

- For U.S.-training, each Participant must sign the **Conditions of Sponsorship for J-1 Visa Holders (AID Form 1381-6)** and the Stakeholder Compact to confirm: a) his or her understanding of responsibilities as a USAID-sponsored

Participant; b) concurrence with the training objectives and anticipated results; and c) acceptance of the requirement to return to the home country upon completion of the training, and the consequences of failing to do so, including any required repayment of training costs (see **AID Form 253-1, Demand for Training Costs Repayment Letter**). The Mission retains one copy of these documents and gives another to the Participant. The Mission should also send a copy to the programming contractor.

- The Sponsoring Unit and programming contractor and programming contractor must

  a) Fully discuss USAID policies and rules on per diem payments, employment, operation of automobiles, dependents, and other similar issues.

  b) Review travel plans, including reservations, tickets, arrival, and airport arrangements, security procedures at the port of entry, date of departure, and date of arrival in and departure from the U.S.

  c) Explain health and accident coverage under the USAID managed Health and Accident Coverage (HAC) program. The explanation must include the limitations of coverage under the Agency HAC program and make clear that USAID is not responsible for claims in excess of the coverage provided under the HAC program or for claims not eligible for coverage under the HAC program. Medical certification, which is mandatory prior to departure from the home country, is reviewed. The contractor provides Emergency contact information for Participants in distress in the United States.

  d) Emphasize the requirement that the Participant must depart the U.S. within three calendar days (seven calendar days for long-term programs) after the last U.S.-based program activity and the requirement to return home upon completion of the program and penalties for failing to do so. (Marriage to a U.S. citizen or permanent resident does **not** provide an acceptable justification for violating this requirement.).

  e) Explain maintenance and other allowances. The contractor advises the Participant in writing that USAID will pay no legal fees on behalf of a Participant if the Participant is arrested or otherwise must obtain legal counsel, and that the Sponsoring Unit will reduce maintenance rates if the Participant receives any additional income in the form of a scholarship, assistantship, or wages.

  f) Provide information on hotel and housing arrangements, and the financially responsible party.

g) Provide a physical mailing address (not a P.O. Box). The Contractor provides grant or contract-managed Participants the Contract Officer's full name, address, and telephone number.

h) Share emergency contact numbers in the Mission so that family members can contact Participants in an emergency.

i) Discuss the income tax status of any scholarship with the participant.

3. Cultural Aspects

Participants and dependents who travel to the U.S. to join a Participant require an introduction to life in the United States, which includes an understanding of the culture, climatic differences, clothing, food, religions, and other customs as well as information on political differences and personal security questions. Meetings with returned Participants can be particularly useful in identifying awkward cultural situations that the Participants might encounter.

The orientation must stress appropriate behavior in male-female relationships and interaction in the United States. Orientation can effectively employ films, videotapes, the Internet, books, role playing, and other resources to provide awareness of beliefs, behavior patterns, cultural standards of politeness, and similar key cultural aspects.

4. Methods of Learning

The pre-departure orientation must explain the interactive nature of classroom discussion in the U.S., in which Participants express their own thoughts and analyses of problems. Also, pre-orientation for U.S. training should, whenever possible, include some basic computer training, as U.S training settings require a minimum level of computer literacy for Internet or library searches, for example.

*253.3.7.5 Monitoring and Reporting

Effective Date: 04/13/2010

Sponsoring Units must be guided by the following provisions related to the monitoring and reporting of programs and Participants:

*a. Participant Monitoring

The Sponsoring Unit must monitor Participant progress, which ensures that problems are resolved quickly and increases the likelihood that the Participant's training will be successful.

Sponsoring Units must include rigorous monitoring requirements in Scopes of Work and Program Descriptions that involve training programmer services. At a minimum, monitoring must include assurances that:

- The Participant has arrived and settled into suitable living quarters;
- The Participant promptly reports any change of address;
- The program meets the training agreement requirements;
- The Participant is enrolled in a full course of study, if in an academic program, or is regularly attending scheduled activities and/or sessions of a technical program;
- The Participant attains established levels of achievement as determined by the training provider;
- The Participant does not develop serious personal or health problems that impair the successful completion of the program; and
- The Sponsoring Unit makes departure arrangements for the Participant upon completion or termination of the program. The Sponsoring Unit arranges a debriefing with the Participant.

*Sponsoring Units must monitor the academic progress of Participants who are enrolled in degree-earning academic education programs by reviewing Academic Enrollment and Term Report – AETR (**AID Form 1380-69**) forms obtained from the academic institutions.

b. Non-Returnees and Recovery of Training Costs

ADS 252 provides policy regarding the monitoring and reporting of Participant departure from the U.S. USAID considers the content of a Participant Training program to include travel from the U.S. to the Participant's home country in addition to the technical or practical components of the program; therefore, the end date of a training program is the day the Participant arrives in his or her home country upon return from the U.S. A Participant must depart the U.S. within three calendar days (seven calendar days for long-term programs) after the last technical or practical U.S.-based activity of his or her program, unless circumstances preclude the departure and the USAID Responsible Officer (RO) or Alternate Responsible Officer (ARO) approves the exception in writing (see **ADS 252**).

USAID-sponsored Participants must return to their home country immediately upon departure from the U.S. Sponsoring Units must make continuous efforts to reduce the non-returnee rate, focusing on planning, design, Participant selection, progress monitoring, and on tracking Participants' post-activity whereabouts. The Sponsoring Unit is responsible for the determination in writing that the Participant is a non-returnee, and, when such determination is made, to initiate actions on behalf of the U.S. Government

to recover the Participant's training costs. Sponsoring Units must keep these training costs in the Participant's file and also record them in TraiNet.

Recovery of Participant Training costs is authorized and predicated on a separate binding agreement outside the scope of the implementing training contract. The agreement is referred to as the **Conditions of Sponsorship for J-1 Visa Holders (AID 1381-6**, dated 11/07, formerly Conditions of Training, dated 06/04). Funds flowing as a result of Participant repayments to USAID are **not** considered recoverable cost(s) under contracting actions for reprogramming purposes, since the funds recovered are a result of a separate binding agreement. The recoveries flow from non-appropriated sources, and USAID cannot re-classify them as an authorized budgetary resource. Receipts become unavailable for USAID budgetary purposes, that is, they cannot be re-programmed for any reason. Recovered funds must be returned by the Agency to the general fund of the U.S. Treasury to avoid potential Anti-deficiency Act violations (see **ADS 625**).

As noted on the new Conditions of Sponsorship for J-1 Visa Holders form AID 1381-6, USAID informs Participants of, and obtains their agreement to, repay training costs if they fail to return home upon completion of their program.

In cases when a USAID Mission or Bureau deferred or recommended a waiver of the Two-Year Home Residency Requirement indicated on a Participant's DS-2019 Form (see **ADS 252** for information on the DS-2019 form) and the Conditions of Sponsorship form, USAID will not send a Demand Letter, issue a Bill of Collection, or otherwise seek to recover any costs related to the sponsorship of such Participant.

Upon confirmation that the Participant is a verifiable non-returnee, the following accounting procedures occur, in order:

- The Sponsoring Unit or activity manager for Mission-funded and managed Participants must determine the costs spent for training as recorded in TraiNet.

- The funding Mission's Controller or Regional Controller must send an **AID Form 253-1, Demand for Training Costs Repayment Letter** ("Demand Letter") to the non-returnee at his or her last known address. For centrally funded or centrally managed programs, EGAT/ED determines the costs spent for training and advises the Financial Management Officer (M/CFO/WFS) who sends the Demand for Training Costs Repayment Letter to the non-returnee's last known address.

- The relevant accounting office (billing office) establishes the Accounts Receivable, in accordance with **ADS 625.3.6.1**. Overseas, the relevant billing office is the Mission Controller or Regional Controller. In Washington, it is M/CFO/WFS.

- Once the billing office has recorded the Accounts Receivable, it returns a copy of the Demand Letter, with a completed Accounts Receivable reference as formal acknowledgement of the record, to the Sponsoring Unit. The Sponsoring Unit can then use the Accounts Receivable reference for follow-up and determination of the current status of the receivable.
- The relevant billing office, with support from the Sponsoring Unit (for Mission-funded training) or the managing office (for centrally funded training), must reply to any communications concerning the Demand Letter within five business days.

The Sponsoring Unit transfers delinquent accounts over 60 days to USAID/W for debt servicing (see **ADS 625**).

c. Participant Arrest

Sponsoring Unit partner organizations (Implementers, contractors, and grantees) must notify the Sponsoring Unit immediately and in writing when Participants are arrested. Neither USAID nor the trainee's monitoring agent (implementing contractor) must aid or abet the Participant's departure from the U.S. prior to the date of trial. If a Participant must remain past the anticipated return date for reasons related to arrest and trial, the implementing contractor, with approval of the Sponsoring Unit, must make financial arrangements for appropriate accommodations until the Participant's trial is over and the court renders a final legal determination.

d. Participant Reporting

Sponsoring Units must use the Training Results and Information Network (TraiNet) to document all USAID Participants and their accompanying dependents (for U.S. training). The data must be entered in TraiNet within established Mission timeframes to allow for the issuance of the Certificate of Eligibility for J-Visa Status, form DS 2019 (see **ADS 252)**. TraiNet is the Agency-wide database training management system managed by EGAT/ED.

e. Participant Taxes

All J-1 visa holders assisted with funds from U.S. sources including USAID are subject to the Internal Revenue Service (IRS) requirement to file U.S. tax returns, whether or not tax payments are due.

Sponsoring Units must:

- Obtain a tax-related Individual Taxpayer Identification Number (ITIN) for each U.S. Participant using the BCIS W-7 request form, and retain a copy in the Participant’s files or in a central Mission file;

- Provide a Statement of Expenditures to the Participant (detailing training-related expenditures paid from U.S. sources on behalf of the Participant).

- Assist the Participant with filing appropriate Federal tax forms with the IRS, or file on their behalf.

- Fund all Federal, state, or local taxes on sponsored Participants' U.S. source income resulting from the official USAID-funded training program.

Income tax payment exclusions are as follows:

- Tax, penalties, or interest associated with an Implementer's failure to comply with Federal, state, or local statutes and regulations governing the timely reporting, withholding, payment of withholding tax on amounts of a Participant's U.S. source income or a Participant's home country tax liability;

- Tax, penalties, or interest for any period of time when Participants are in Non-Returnee status;

- Tax, penalties, or interest on any sponsored Participants' incomes received from sources outside the United States;

- Tax, penalties, or interest on any sponsored Participants' income received from non-USAID sources, except from approved assistantships, approved paid internships, and approved on-the-job training; and

- Tax, penalties, or interest for Participants who return to the U.S. after completion of their USAID-sponsored training and incur retroactive tax liabilities for the time spent under USAID sponsorship.

The procedures concerning Participant taxes are contained in the **Internal Revenue Code, 1986.**

*f. Required File Documentation

Sponsoring Units must retain hard (paper) copies of all of the following administrative file documents of Participants, dependents, and sponsored activities for a period of three years after the program end date:

- Training Request, if applicable (see **253.3. 1.4**);

- Nomination/Participant selection documentation;

- Participant's biographical data;

- Face page of Participant's passport;
- Participant security risk and fraud inquiry (SRFI) documentation;
- English language proficiency documentation;
- Medical clearance confirmation (unless HAC Plan C is used)
- Signed **Conditions of Sponsorship form for J-1 Visa Holders**;
- ITIN number;
- Training Implementation Plan, if applicable (see **253.3.1.5**);
- Pre-departure orientation checklist;
- Stakeholder Compact, if applicable (see **253.3.7.4**); and
- Participant tracking documentation.

Retention of these documents will provide written evidence substantiating any indebtedness to the USG in the event a Participant is later determined to be a non-returnee (see **ADS 253.3.7.5**) with a debt to the USG (see **ADS 625.3.6.7c**)

253.4 MANDATORY REFERENCES

Effective Date: 01/22/2010

253.4.1 External Mandatory References

Effective Date: 01/22/2010

a. **41 CFR 301-7 (travel allowances)**

b. **41 CFR 301-8 (travel allowances subsistence)**

c. **Enhanced Border Security and Visa Entry Reform Act, Pub. L. 107-173/H.R. 3525**

d. **Executive Order 12876, Historically Black Colleges and Universities**

e. **Executive Order 12900, Educational Excellence for Hispanic Americans**

f. **Executive Order 13021, Tribal Colleges and Universities**

g. **Foreign Assistance Act of 1961, as amended**

h. **Section 212(e) of the Immigration and Nationality Act (8 USC § 1182)**

i. **U.S. Internal Revenue Code, 1986 [Participant taxes]**

j. **49 U.S.C. Sec. 40118, the Fly America Act**

253.4.2 Internal Mandatory References
Effective Date: 01/22/2010

a. **ADS 201, Planning**

b. **ADS 201maf, Human and Institutional Capacity Development (HICD) Policy Paper**

c. **ADS 206, Prohibition of Assistance to Drug Traffickers**

d. **ADS 252, Visa Compliance for Exchange Visitors**

e. **ADS 522, Performance of Temporary Duty Travel in the U.S. and Abroad**

f. **ADS 625, Administrative Accounts Receivable**

g. **AIDAR 752.7019**

h. **Complete Guide to USAID Visa Compliance**

i. **USAID Disability Policy Paper, September 12, 1997**

j. **USAID Gender Plan of Action (USAID Policy Determination, March 12, 1996)**

*253.4.3 Mandatory Forms
Effective Date: 04/13/2010

a. **AID Form 253-1, Demand for Training Costs Repayment Letter**

***b.** **AID Form 1380-5, Dependent Certification**

c. **AID Form 1381-6, Conditions of Sponsorship for J-1 Visa Holders**

d. **AID Form 1381-7, Conditions of Sponsorship for Third Country Training**

e. **AID Form 1382, Guide to Medical Fitness Standards for Applicants**

f. **AID Form 1382-1, Medical History and Examination Form for Foreign Applicants**

g. **Non immigrant Visa Application Form (DS-156) [Note:This form is generated electronically]**

*An asterisk indicates that the adjacent material is new or substantively revised.

***h. AID Form 1380-69, Academic Enrollment and Term Report (AETR)**

253.4.3 Additional Help
Effective Date: 01/22/2010

a. Participant Training Plan

b. Training Implementation Plan (TIP)

c. Training Intervention Request Form (TIRF)

253.6 DEFINITIONS
Effective Date: 01/22/2010

The terms and definitions listed below have been incorporated into the ADS Glossary. See the **ADS Glossary** for all ADS terms and definitions.

academic training
Includes any program at a college or university leading to a degree (such as an Associate of Arts/Science, Bachelor of Arts/Sciences, Masters of Arts/Sciences, or doctorate). Academic training can also include post-doctoral studies. (Chapter 253)

best practices
Highly recommended and endorsed Agency procedures to define and produce results-based training activities, developed from field experience across regions and consolidated in guidance material managed by the Bureau for Economic Growth, Agriculture and Trade, Education Office (EGAT/ED). (Chapter 253)

bill of collection
A letter or form sent by USAID to a non-returnee Participant that includes the amount of the training cost that is due, including administrative charges and late penalties, if applicable. (**Chapter 625**, Chapter 253)

capacity development
Approaches, strategies, or methodologies used by USAID and its stakeholders to change, transform, and improve performance at the individual, organizational, sector, or broader system level. (Chapter 253)

conferences
Short meetings among technical specialists or others working in a common field, generally of a week's duration or less, to discuss a particular topic of shared, professional interest. (Chapter 253)

cost containment, cost control (interchangeable)
Broad terms to describe a range of management actions, procedures, and tools applied by the Sponsoring Unit and/or its contractor, grantee, or partner (Implementer) to

reduce the costs that USAID pays for Participant Training without compromising quality. The cost to be contained may be any direct or indirect Participant or training program cost. Includes cost-sharing (see “cost-sharing”). (Chapter 253)

cost-sharing
Any instance where USAID or its partner arranges financial or in-kind support from counterpart organizations or independent non-governmental organizations to benefit a training program. Cost-sharing can be done with the training provider, training contractor, host-country institution, or any other stakeholder. Typical cost-sharing includes tuition remissions, assistantships, training-fee discounts, home-stays, in-kind contributions, international transportation costs, Participant salary, and payment of any direct Participant cost by the non-USAID funding source. Cost-sharing mobilizes additional financial resources for training, and increases the coverage and effectiveness of USAID's limited budget resources. (Chapter 253)

covered countries
Countries identified annually as major illicit drug-producing or drug-transit countries under Section 490(h) of the FAA as well as any country or portion of a country that the State Department determines is to be treated as a covered country under the 487 regulations. (**Chapters 206**, 253)

dependent
The alien spouse and minor unmarried children of a Participant who accompany or join the sponsored individual, and who sought to enter or have entered the United States temporarily on a J-2 visa. For the purpose of these regulations, a minor is a person under the age of 21 years old.

disability
A physical or cognitive impairment that affects a major life function, consistent with the definition of the Rehabilitation Act. (Chapters 253, **514**)

DS-2019 form (Certificate of Eligibility)
An electronically generated federal form training Participants need in order to obtain a Department of State J-1 Exchange Visitor visa. The form is issued by the USAID Responsible Office or Alternate Responsible Officer in Washington under Department of State J-1 Exchange Visitor Program guidelines. (**Chapter 252**, 253)

Exchange Visitor
Any host-country resident or host-country national traveling to the United States whose travel USAID funds in whole or in part, directly or indirectly is an Exchange Visitor. All USAID-sponsored Exchange Visitors must obtain, use, and abide by the terms of the J-1 visa exclusively even if they already have a valid non-immigrant visa (e.g., B-1/B-2). All Individuals traveling under Invitational Travel (see **ADS 522**) must also travel on a J-1 visa as a USAID-sponsored Exchange Visitor. (**Chapter 252**)

Federal fiscal year
The Federal Fiscal Year has a start date of October 1st and an end date of September 30th. The first quarter of the Federal Fiscal Year begins on October 1st and ends on December 31st. Subsequent quarters end on March 31st, June 30th and September 30th.

follow-on
Term used to describe post-training activities or reports that document the impact of training programs on the home country, Sponsoring Unit, in-country employers, institutions, and Participants. (Chapter 253)

Health and Accident Coverage (HAC)
USAID's HAC insurance policy obtained only through the EGAT/ED/PT contractor. HAC insurance is required for all U.S. Exchange Visitors and is recommended for all third-country Participants. (Chapter 253)

host country
The country in which the USAID Mission is located, and the country for whose benefit a USAID program is being implemented. (**Chapters 252**, **301**, **305**, **311**, **322**, **495**)
The country in which a USAID-funded activity takes place. (**Chapters 200-203**, **252**, 253, **301**, **305**, **311**, **322**, **495**)

Host Country National
A citizen of a host country. (Chapter 253)

Implementer
The individual or entity that carries out program and management planning and oversight of the Participant Training. See "training contractor." (Chapter 253)

Individual Taxpayer Identification Number (ITIN)
The unique identifying number assigned by the IRS to each Participant trained in the U.S., to track U.S. tax liability and payment. (Chapter **252**, 253)

in-kind contribution
The value of non-cash contributions to a training program provided by any third party, including counterpart contributions from host country institutions. In-kind contributions may be in the form of space, equipment, supplies, expendable property, and the value of goods and services directly benefiting and specifically identifiable to a Participant or training program. (Chapter 253)

J-1 visa
A non-immigrant visa issued by the U.S. Embassy for an individual who has a residence in a foreign country which he has no intention of abandoning and who is coming temporarily to the U.S. as a Exchange Visitor for the purpose of consulting; demonstrating special skills; presenting; lecturing; conducting research; attending professional meetings, conferences, workshops, or observational study tours; and

degree and non-degree academic studies (full course load); and specialty and non-specialty training activities. (**Chapter 252**)

long-term training
Training provided in a structured learning environment, including but not limited to degree-earning programs, with duration of six months or longer. (Chapter 253)

non-presence country
A country where USAID does not have a Mission or Representative Office. (Chapters 253, **203**)

non-returnee
An Exchange Visitor who has remained in the U.S. after the conclusion of his or her program. Non-Returnees may include individuals who have remained in the U.S. and have applied for a waiver of the two-year home residency requirement. They may also include "no-shows" and individuals who fail to appear for their Exchange Visitor program. A non-returnee may also be an individual who departs the United States but does not return to their home country. (Chapter **252**, 253)

observation tours
Scheduled visits to one or more facilities to learn a process, method, or system through observation and discussion. Observation training emphasizes the acquisition of development ideas, approaches, and values. Participant teams with homogeneous interests and levels of responsibility are often suited for observational training. (Chapter 253)

on-the-job training
Instruction in a specific task or skill via mentoring by a practitioner using explanations, demonstration, practice, and feedback. On-the-job training may be combined with academic or technical training to provide a practical experience component. (Chapter 253)

Participant/Participant Trainee
An eligible host-country resident or national sponsored by USAID for a learning activity conducted within the U.S., a third country, or in-country for the purpose of furthering USAID development objectives. A learning activity takes place in a setting in which an individual (the Participant) interacts with a knowledgeable professional predominantly for the purpose of acquiring knowledge, skills, or information for the professional or technical enhancement of the individual. Learning activities may be formally structured, such as an academic program or a technical course, or they may be more informal, such as an observational study tour. (Chapter 253)

partner
An organization or individual with whom the Agency collaborates to achieve mutually agreed upon objectives and to secure participation of ultimate customers. Partners include host country governments, private voluntary organizations, indigenous and

international non-governmental organizations (NGOs), universities, other U.S. Government agencies, United Nations and other multilateral organizations, professional and business associations, and private businesses, foundations and individuals. (**Chapters 101, 102, 200-203**, 253)

Sponsoring Unit
The Mission or Bureau/Independent Office that expends USAID funds for Participant Training design, implementation, or evaluation activities. (Chapter 253)

stakeholders
Those who are affected by a development outcome or have an interest in a development outcome. Stakeholders include customers (including internal, intermediate, and ultimate customers) but can include more broadly all those who might be affected directly, or indirectly, by a USAID activity and might not be identified as a "customer." (**Chapters 200-203**, 253).

Stakeholder Compact
See training agreement. (Chapter 253)

statement of expenditure
The accounting of expenditures that must accompany each U.S. Participant's income tax return, detailing the training-related expenditures paid from U.S. sources on behalf of the Participant. (Chapter 253)

third country
Any country that is neither the U.S. nor the host country. (Chapter 253)

Third Country National
A legal resident, but not a citizen, of the non-U.S. country in which the Sponsoring Unit is operating. (Chapter 253)

TraiNet
USAID's database for reporting of information on all USAID training and Exchange Visitor activities. TraiNet is USAID's single repository of training and exchange data. TraiNet is a Web-based application that helps Missions, contractors and contractor systems at various locations to collaborate in training reporting.

training
A learning activity 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. (Chapter 253)

training agreement
Also known as a Stakeholder Compact. A written agreement involving Participants, employers, and Sponsoring Units of specific performance change targets within the organizational setting of the Participants selected for training. (Chapter 253)

training contractor
The organization hired by a Mission or USAID/W Bureau or Independent Office to help design, implement, or monitor aspects of results-oriented training under Mission guidance and authority. See "Implementer." (Chapter 253)

training impact
Improvements in individual job or organizational performance attributable to new skills, knowledge, and attitudes (KSAs) acquired during training and applied at work settings, designed to contribute to institutional, sect oral, and host-country development objectives. (Chapter 253)

training, in-country
A learning activity taking place in a classroom or workshop setting with formally designated instructors, learning objectives, and outcomes, conducted full-time or intermittently within the host country. (Chapter 253)

training, informal
Learning activities taking place outside the classroom or other such formal structuring during a period of Agency-sponsored training. Includes study and observational tours, or on-the-job practical learning activities not connected to formal classroom instruction, or through distance learning. (Chapter 253)

training provider
Any institution, organization, or individual, whether public, private, non-profit, or for-profit, that furnishes instruction directly to a Participant under full or partial USAID funding. Distinct from training contractors who arrange for such training and are also known as program Implementers or Programming Agents. (Chapter 253)

training, regional
Any training activity sponsored by or on behalf of a regional office or that contributes to the achievements of its regional objectives. Regional training may take place inside or outside a cluster of countries that form a geographically or politically designated region. Any Participant Training (see **253.1**) activity that is funded by a Sponsoring Unit using regional, not bi-lateral funds, and where the results of the training will be reported on a regional or multi-country basis, not a single country basis.

training, technical
Formally structured learning activities, generally in a classroom, that do not lead to an academic degree. Can include technical courses at community colleges, technical institutes or universities, on-the-job activities tied to technical-area classroom work, or any combination of such formally structured, non-degree producing instructional activity. (Chapter 253)

training, third-country
Any training activity conducted in a country that is not the host country or the United States. (Chapter 253)

Appendix
Updated Behavior Engineering Model

Most performance improvement experts recognize six factors that affect performance in any organization. Shown here is the Updated Behavioral Engineering Model used by the International Society for Performance Improvement (ISPI).

Through a comprehensive analysis of organizational performance based on these six performance factors, USAID can identify performance gaps and introduce performance solutions, also referred to as interventions, to close those gaps. Performance solutions are designed based on which of the six performance factors lie at the root causes of the performance gap.

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 affect 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.